SMITH A O CORP Form 4

February 16, 2016

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL OMB** 

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Petrarca Mark A

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

SMITH A O CORP [AOS]

(Check all applicable)

(Last) (First) (Middle)

(State)

3. Date of Earliest Transaction (Month/Day/Year)

02/11/2016

Director 10% Owner Other (specify X\_ Officer (give title below)

A. O. SMITH CORPORATION, 11270 WEST PARK PLACE

4. If Amendment, Date Original

Senior Vice Pres. - H.R. & P.A 6. Individual or Joint/Group Filing(Check

(Street) Filed(Month/Day/Year)

(Zip)

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

MILWAUKEE, WI 53224

(City)

1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)  02/11/2016	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Securi on(A) or D (Instr. 3, Amount 3,600	(A) or (D)	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Stock	02/11/2016		IVI	<u>(1)</u>	Α	63.335	46,115	ע	
Common Stock	02/12/2016		S	1,666 (2)	D	\$ 65.764	44,449	D	

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. Number op f Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		(Instr. 3 and 4)		8. Pr Deriv Secu (Insti
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units	\$ 63.335	02/11/2016		M	3,600	<u>(1)</u>	(1)	Common Stock	3,600	\$ (

## **Reporting Owners**

Reporting Owner Name / Address		Keiauo	nisnips	
	Director	10% Owner	Officer	Other
rarca Mark A			Senior	

A. O. SMITH CORPORATION 11270 WEST PARK PLACE MILWAUKEE, WI 53224 Vice Pres. -H.R. & P.A

# **Signatures**

Petr

James F. Stern, Attorney-in-Fact for Mark A.
Petrarca 02/16/2016

Date

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\*\*Signature of Reporting Person

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- 3,600 Restricted Stock Units were granted on 02/11/2013, under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under Rule 16b-3. 3,600 Restricted Stock Units vested on 02/11/2016. As a result of vesting, the Company is obligated to deliver 3,600 shares of Common Stock to the reporting person.
- (2) The reporting person sold these shares to obtain funds to pay the withholding taxes due as a result of the vesting of the restricted stock units described in footnote (1).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Reporting Owners 2