SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 OMB APPROVAL
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1. Name and Addres <u>Petrarca Mark</u>	1 0	n*	2. Issuer Name and Ticker or Trading Symbol <u>SMITH A O CORP</u> [AOS]		tionship of Reporting Per all applicable) Director	son(s) to Issuer 10% Owner	
1	(First) (Middle) ITH CORPORATION EST PARK PLACE		3. Date of Earliest Transaction (Month/Day/Year) 02/09/2018	X	Officer (give title below) Senior Vice Pres	Other (specify below) H.R. & P.A	
		53224 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X			

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year) (Month/Day/Year)		Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	02/09/2018		М		4,470 ⁽¹⁾	A	\$60.11	87,119	D	
Common Stock	02/09/2018		F		2,169	D	\$60.11	84,950	D	

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. Transa Code (8)		Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)			
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)					
Restricted Stock Units	\$60.11	02/08/2018		М			4,470	(1)	(1)	Common Stock	4,470	\$0	7,180	D				
Restriced Stock Units	\$61.76	02/12/2018		A		2,460		(2)	(2)	Common Stock	2,460	\$0	9,640	D				
Employee Stock Options (Right to Buy)	\$61.76	02/12/2018		A		10,215		(3)	02/12/2028	Common Stock	10,215	\$0	54,630	D				

Explanation of Responses:

1. 4,470 Restricted Stock Units were granted on 02/09/2015, under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under Rule 16b-3. 4,470 Restricted Stock Units vested on 02/09/2018. As a result of vesting, the Company is obligated to deliver 4,470 shares of Common Stock to the reporting person.

2. The restricted stock units were granted on 02/12/2018 under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under Rule 16b-3. The restricted stock units become payable in Common Stock on the vesting date of 02/12/2021.

3. The employee stock options were granted on 02/12/2018 under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under Rule 16b-3. The options become exercisable in three annual installments of 1/3 of the award starting on 02/12/2019.

Remarks:

James F. Stern, Attorney-in-Fact for Mark A. Petrarca

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** Signature of Reporting Person Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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