SEC Form 4

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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									
MB Number:	3235-0287								

Estimated average burden
hours per response: 0.5

1. Name and Address of Reporting Person [*] STERN JAMES F			2. Issuer Name and Ticker or Trading Symbol <u>SMITH A O CORP</u> [AOS]		ationship of Reporting Per k all applicable) Director	10% Owner
(Last) (First) (Middle) A. O. SMITH CORPORATION 11270 WEST PARK PLACE (Street) MILWAUKEE WI 53224 (City) (State) (Zip)		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/30/2015	- X	Officer (give title below) Exec VP, General C	Other (specify below) ounsel & Sec
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi Line) X	vidual or Joint/Group Filin Form filed by One Rep Form filed by More tha Person	orting Person

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Code	Transaction Disposed Of (D) (Instr. 3, 4 and 5) Code (Instr.		5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership			
			Code	v	Amount	Nount (A) or (D) Price Reported Transaction(s) (Instr. 3 and 4)			(Instr. 4)		
Common Stock	10/26/2015		G		1,880	D	\$0 ⁽¹⁾	76,685	D		
Common Stock	11/02/2015		G		30	D	\$0 ⁽¹⁾	76,655	D		
Common Stock	11/09/2015		G		195	D	\$0 ⁽¹⁾	76,460	D		
Common Stock	11/30/2015		М		27,900	A	\$13.965	104,360	D		
Common Stock	11/30/2015		F		16,282	D	\$80.365	88,078	D		
Common Stock	11/30/2015		S		4,100	D	\$80.3935	83,978	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)		of Deri Seci Acq (A) o Disp of (E	umber vative urities uired or oosed 0) (Instr. and 5)	6. Date Exerc Expiration Da (Month/Day/Y	ate	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 Transaction(s) (Instr. 4)	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				
Employee Stock Options (Right to Buy)	\$13.965	11/30/2015		М			27,900	(2)	02/08/2020	Common Stock	27,900	\$0	68,180	D	

Explanation of Responses:

1. Gift

2. The employee stock options were granted on 02/08/2010 under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under Rule 16b-3. The options became exerciable in three annual installments of 1/3 of the award starting on 02/08/2011.

Remarks:

Wendy L. Grant, Attorney-in-

Fact for James F. Stern

12/01/2015

Date

** Signature of Reporting Person

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.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.