| SEC For   | m 4<br>FORM   | Л  |  | STATE                             | 'S SF   | -CUR   | ITI    | -S AND   | FXCHA              | NGE C   | OMMI                                   | SSION  |  |   |   |
|---|---|--|--|-----------------------------------|---|--|--------|--|--------------------|---|--|--|--|---|---|
|   |   |  | UNITED STATES SECURITIES AND EXCHANGE COMMISSION<br>Washington, D.C. 20549 |                                   |   |  |        |  |                    |   |  |  | OMB APPROVAL   |   |   |
| Section 16. Form 4 or Form 5<br>obligations may continue. See   |   |  |  | Filed p                           | ENT OF CHANGES IN BENEFICIAL OWNERSHIP<br>ed pursuant to Section 16(a) of the Securities Exchange Act of 1934<br>or Section 30(h) of the Investment Company Act of 1940 |  |        |  |                    |   |  |  | OMB Number: 3235-0287<br>Estimated average burden<br>hours per response: 0.5   |   |   |
| Warren<br>(Last)  | David R   | ,  | (Middle)   | 3                                 | . Issuer  | Name <b>ar</b><br>H A O  | nd Tic | saction (Month/Day/Year)                                       |                    |   | (Ch                                    | eck all applic<br>Directo<br>X Officer<br>below)   | cable)<br>or<br>(give title  | 10% Owner   |   |
| A. O. SMITH CORPORATION<br>500 TENNESSEE WALTZ PARKWAY  |   |  |  |                                   |   | 02/07/2022   |        |  |                    |   |  |  |  |   |   |
| (Street)<br>ASHLAND<br>CITY<br>TN   |   |  | 37015  | 4                                 | . If Ame  | ndment,  | Date   | of Original Filed (Month/Day/Year)                             |                    |   | Line                                   | Individual or Joint/Group Filing (Check Applicable<br>ne)<br>X Form filed by One Reporting Person<br>Form filed by More than One Reporting<br>Person |  |   | on  |
| (City) (State) (Zip)  |   |  |  |                                   |   |  |        |  |                    |   |  |  |  |   |   |
|   |   | Tab  | le I - Non-I   | Derivati                          | ve Se   | curitie  | s Ac   | quired, D  | isposed o          | of, or Be   | neficial                               | ly Owned   |  |   |   |
| Date  |   |  |  | . Transacti<br>Date<br>Month/Day/ | Execution Date  |  |        | Code (Ins  | on Disposed        | ties Acquired (A) or<br>I Of (D) (Instr. 3, 4 and   |  | Beneficia  | ally (   | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|   |   |  |  |                                   |   |  | Code V | Amount   | (A) oi<br>(D)      | Price   | Transact<br>(Instr. 3 a                | ion(s)   |  | (instr. 4)  |   |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned<br>(e.g., puts, calls, warrants, options, convertible securities) |   |  |  |                                   |   |  |        |  |                    |   |  |  |  |   |   |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)   | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Dat<br>if any<br>(Month/Day/Ye                     | te, 4.<br>Code                    | saction<br>(Instr.  | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D) (Instr.<br>3, 4 and 5) |        | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5)  | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | Ownershi<br>Form:<br>Direct (D)<br>or Indirec<br>(I) (Instr. 4    | Beneficial<br>Ownership<br>(Instr. 4)                             |
|   |   |  |  | Code                              | • V   | (A)  | (D)    | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |  |  |   |   |
| Employee<br>Stock<br>Options<br>(Right to<br>Buy)   | \$74.265  | 02/07/2022                                 |  | A                                 |   | 13,190   |        | (1)  | 02/07/2032         | Common<br>Stock   | 13,190                                 | \$0  | 62,604   | D   |   |
| Restricted  |   |  |  |                                   |   |  |        |  | 1                  | C   |  |  |  |   |   |

## Explanation of Responses:

\$74.265

1. The employee stock options were granted on 02/07/2022, under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under rule 16b-3. The options became exercisable in three annual installments of 1/3 of the award starting on 02/07/2023.

(2)

3,125

2. The restricted stock units were granted on 02/07/2022 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 02/07/2025.

## **Remarks:**

Stock Units

James F. Stern, Attorney-in-Fact for David R. Warren

3,125

\$<mark>0</mark>

Common

Stock

(2)

02/09/2022

15,170

D

\*\* 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).

02/07/2022

\*\* 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.