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

1. Name and Address of Reporting Person <sup>*</sup> <u>ROONEY THOMAS S JR</u>					2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Energy Recovery, Inc.</u> [ERII]										5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last) (First) (Middle)					3. Date of Earliest Transaction (Month/Day/Year) 03/14/2013								X	Officer (g below)			Other (s below)			
C/O ENERGY RECOVERY, INC.															President, CEO					
1717 DOOLITTLE DRIVE					4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Indiv	6. Individual or Joint/Group Filing (Check Applicable Line)						
(Street) SAN LEANDRO CA 9		94577											X			•	ing Person Dne Reportin	ig Person		
(City)	(State	e) (2	(Zip)																	
		Т	able I - Nor	n-Deriv	vativo	e S	ecuritie	es Acc	quired, C	Disp	osed o	f, or l	Benefi	cially Ow	ned					
Date				Date			2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction Dispo Code (Instr.			urities Acquired (A) or eed Of (D) (Instr. 3, 4 an			Securities Beneficiall Following	ecurities eneficially Owned blowing Reported		vnership :: Direct (D) direct (I) :: 4)	7. Nature of Indirect Beneficial Ownership	
				Code					v			(A) or (D)	Price	- Transactio (Instr. 3 and				(Instr. 4)		
			Table II - I (						ired, Dis options	•					ed					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)			ansaction de (Instr.		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) (A) (D)		6. Date Exd Expiration (Month/Da Date Exercisabl	Date y/Yea		) Securities Derivative 3 and 4)			8. Price of Derivative Security (Instr. 5)	ative derivativ rity Securitie		10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	

Explanation of Responses:

\$3.92

Stock Option

(Right to Buy)

1. 25% of shares fully vest on the 1st anniversary of the vesting start date of 3/14/13; thereafter, the shares vest 1/48th per month.

/s/ Alexander J. Buehler,
Attorney-in-Fact for Thomas S
Rooney, Jr.

Common

Stock

03/14/2023

(1)

1,527,135

03/15/2013

D

\*\* Signature of Reporting Person Date

123,153

\$<mark>0</mark>

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

 $^{\ast}$  If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

03/14/2013

\*\* 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.

Α

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.

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