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 *						2. Issuer Name and Ticker or Trading Symbol							5. Relationship of Reporting Person(s) to Issuer					
					Energy Recovery, Inc. [ERII]								(Check all applicable)					
<u>Clemente Rodney</u>												_	Director			10% Ov	vner	
(Last) (First) (Middle)				3. Date of Earliest Transaction (Month/Day/Year) 08/09/2019							x	Officer (g below)	ive title		Other (s below)	specify		
C/O ENERGY RECOVERY														VP,	Water			
1717 DOOLITTLE DRIVE					4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street)												X Form filed by One Reporting Person Form filed by More than One Reporting Person						
SAN LEANDF	RO CA	94	577															
(City)	(State)	(Zi	p)															
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																		
Date				nsaction n/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)			4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and				5. Amount Securities Beneficiall Following	y Owned 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 ⁽¹⁾ 08/0					09/2019		S		230		D	\$9.9629	44,123		E)		
Common Stock ⁽²⁾ 08/1					2/2019		F		100		D	\$10	44,023		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)	rivative Conversion Date Execution Dat		ate,	4. Transaction Code (Instr. 8)	tion Derivative E		Date Exercisable and cpiration Date lonth/Day/Year)		7. Title and Amount Securities Underlyi Derivative Security (Instr. 3 and 4)		derlying curity	8. Price of Derivative Security (Instr. 5) 8 eneficial Owned Following Reported Transactic		e Ow 5 Fo Ily Din or 1 (l)	vnership orm: rect (D) Indirect (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		

Date

Exercisable

(D)

Explanation of Responses:

1. This transaction was effected pursuant to a 10b5-1 trading plan adopted by the Reporting Person on March 14, 2019.

2. Payment of tax obligation by withholding securities incident to the vesting of the securities in accordance with Rule 16b-3(e).

/s/ William Yeung, Attorney-in-Fact for Rodney Clemente 0

Amount

Number

of Shares

or

Expiration Date

Title

08/13/2019

(Instr. 4)

** 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.

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.

V (A)

Code

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