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). Ш

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 <u>Clemente Rodney</u>						2. Issuer Name and Ticker or Trading Symbol <u>Energy Recovery, Inc.</u> [ERII]									ationship of F all applicab Director	le)	Person(s) to Issuer 10% Ov	vner	
(Last) (First) (Middle) C/O ENERGY RECOVERY					3. Date of Earliest Transaction (Month/Day/Year) 11/11/2019									x	Officer (g below)		Other (specify below)		specify	
1717 DOOLITTLE DRIVE					4. lf A	4. If Amendment, Date of Original Filed (Month/Day/Year)									 Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person 					
(Street) SAN LEANDRO CA 94577															X Form filed by One Reporting Person Form filed by More than One Reporting Person					
(City)	(State)	(Zij	p)																	
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																				
Date							2A. Deemed Execution Date, if any (Month/Day/Year)					4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 ar			Securities Beneficiall Following	eneficially Owned blowing Reported		nership Direct (D) irect (I) 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
									Code	v	Amount		(A) or (D)	Price	 Transaction(s) (Instr. 3 and 4) 				(1150.4)	
Common Stock ⁽¹⁾ 11/1					11/201	1/2019			S		230		D	\$9.385	43,234			D		
Common Stock ⁽²⁾					13/201	13/2019			F		100		D	\$9.46	43,134			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	rcise (Month/Day/Year) if any of (Month/Day/Ye tive		ate, Year)	Code (Instr.		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)				te	Sec Deri (Ins	7. Title and Amou Securities Under! Derivative Securit (Instr. 3 and 4) Amor Nur Title of S		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)	

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-11/13/2019 Fact for Rodney Clemente

** 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.

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