SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL
OMB Number: 3235-0104
Estimated average burden
hours per response: 0.5

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* TONDREAU PAMELA L. | | | 2. Date of Event R Statement (Month/)7/30/2019 | | 3. Issuer Name and Ticker or Trading Symbol Energy Recovery, Inc. [ERII] | | | | | | |
|------------------------------------------------------------------------------------------------------------------------------|---------|----------|----------------------------------------------------------------|-------------------------------|-------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------|------------------------------------|--------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|--|
| (Last) | (First) | (Middle) | | | 4. Relationship of Reporting Person(s) (Check all applicable) | | , | | 5. If Amendment, Date of Original Filed (Month/Day/Year) | | |
| C/O ENERGY RECOVERY, INC. 1717 DOOLITTLE DRIVE | | | | | Of | Director Officer (give title below) | 10% Owner Other (speci below) | fy App | 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person | | |
| (Street) SAN LEANDRO | СА | 94577 | | | | | | | Form filed by More than One Reporting Person | | |
| (City) | (State) | (Zip) | | | | | | | | | |
| Table I - Non-Derivative Securities Beneficially Owned | | | | | | | | | | | |
| 1. Title of Security (Instr. 4) | | | | Beneficially Owned (Instr. 4) | | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | | eneficial Ownership (Instr. | | | |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | | | | |
| 1. Title of Derivative Security (Instr. 4) | | | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | 3. Title and Amount of Securities U Derivative Security (Instr. 4) | | Underlying | 4. Conversion or Exercise | 5. Ownership Form: Direct (D) or | 6. Nature of Indirect Beneficial Ownership (Instr. 5) | |
| | | | Date Exercisable | Expiratior Date | n Title | | Amount or Number of Shares | Price of Derivative Security | Indirect (I) (Instr. 5) | | |
| Stock Option (Right to Buy) | | | (1) | 07/30/2029 |) (| Common Stock | 10,295 | 11.34 | D | | |

Explanation of Responses:

1. The options become vested and exercisable on the 2020 Shareholder Meeting, anticipated to be on June 11, 2020

/s/ William Yeung, Attorney-infact for Pamela Tondreau 08/06/2019

** 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 5 (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.