SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations may continue. See

Instruction 1(b)

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL
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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* Goodwin Wallace E			2. Issuer Name and Ticker or Trading Symbol <u>SMITH A O CORP</u> [AOS]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner Officer (give title Other (specify
(Last) LOCHINVAF 300 MADDO	(First) LLC X SIMPSON P	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 02/08/2021	X United (give true of the (specify below) below) SVP, Pres & GM, Lochinvar, LLC
(Street) LEBANON TN 37090	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person		
(City)	(State)	(Zip)	erivative Securities Acquired, Disposed of, or Bene	

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	ution Date, Code (Instr.					5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 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								16,111 ⁽¹⁾	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 6. Date Exercisable and 1. Title of 7. Title and 9. Number of 11. Nature 3. Transaction 3A. Deemed 5. Number 8. Price of 10. Amount of Securities Underlying Derivative Security (Instr. 3) Conversion or Exercise Price of Transaction Code (Instr. 8) Derivative Security (Instr. 5) Ownership Form: Direct (D) Expiration Date (Month/Day/Year) derivative Securities of Indirect Beneficial Execution Date Date (Month/Day/Year) if any (Month/Day/Year) Derivative Securities Beneficially Ownership Derivative Security (Instr. 3 and 4) Owned Following or Indirect (I) (Instr. 4) Derivative Acquired (Instr. 4) Security (A) or Disposed Reported of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Date Exercisable Expiration Date Code v (A) (D) Title Shares Employee Stock Commo Options \$60.82 02/08/2021 5,890 (2) 02/08/2031 5,890 63,970 D A \$<mark>0</mark> Stock (Right to Buy) Restricted Commor 02/08/2021 (3) 1.355 \$60.82 1 355 (3) 6 1 7 0 D Stock Α \$<mark>0</mark> Stock Units

Explanation of Responses:

1. Mr. Goodwin is a participant in the A. O. Smith Dividend Reinvestment Plan ('Plan'') and receives a quarterly dividend pursuant to the Plan. The total amount of dividends received was 13 shares of Common Stock.

2. The employee stock options were granted on 02/08/2021 under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under Rule 16b-3. The options become exercisable in three annual installments of 1/3 of the award starting on 02/08/2022.

3. The restricted stock units were granted on 02/08/2021 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 02/08/2024.

Remarks:

<u>James F. Stern, Attorney-in-</u> <u>Fact for Wallace E. Goodwain</u>

** Signature of Reporting Person Date

02/10/2021

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.