Edgar Filing: CADIZ INC - Form 4

CADIZ INC Form 4 January 04, 2								
FORM	14 UNITED STA	TES SECURITII Washing			COMMISSION		3235-0287	
Washington, D.C. 20549Number:3235-027Check 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 OF 								
(Print or Type I	Responses)							
HUTCHISON MURRAY H Symbol			he and Ticker or '	Frading	5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (Middle				(Chec	k all applicable	e)	
C/O CADIZ HOPE STR	C INC., 550 SOUTH EET, 2850	(Month/Day/Ye 01/01/2017	ear)		X_ Director 10% Owner Officer (give title Other (specify below) below)			
	(Street) 4. If Amendment, Date Original Filed(Month/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person			
LOS ANGE	ELES, CA 90071				Form filed by M Person	Iore than One Re	eporting	
(City)	(State) (Zip)	Table I - N	Non-Derivative S	Securities Acc	quired, Disposed of	f, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	any	ecution Date, if Tran Cod onth/Day/Year) (Ins	1		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Indirect Beneficial	
Common Stock	01/01/2017	А	610 <u>(1)</u>	A \$ 12.3	42,946 <u>(2)</u>	D		

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

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 control number.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration D (Month/Day/ e	n Date		le and int of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owna Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / A	ddress	Relationships						
reporting of their funite (frauress		Director	10% Owner	Officer	Other			
HUTCHISON MURRAY I C/O CADIZ INC. 550 SOUTH HOPE STREE LOS ANGELES, CA 9007	Х							
Signatures								
Murray H. 01/04/20 Hutchison		17						
<u>**</u> Signature of	Date							

Explanation of Responses:

- * 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).
- (1) These shares were allocated to the Reporting Person under the 2014 Equity Incentive Plan in lieu of cash compensation for services rendered by the Reporting Person as a director of the Issuer for the 3-month period beginning January 1, 2017.
- (2) Includes 3,473 shares allocated to the Reporting Person under the 2014 Equity Incentive Plan for services rendered by the Reporting Person as a director of the Issuer for the 12-month period ended June 30, 2016, which shares will vest on January 31, 2017.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Reporting Person