SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

Estimated average burden hours per response: 0.5

1. Name and Addres	ss of Reporting Perso in <u>D</u>	n*	2. Issuer Name and Ticker or Trading Symbol <u>CASELLA WASTE SYSTEMS INC</u> [CWST		tionship of Reporting Pers all applicable) Director	on(s) to Issuer 10% Owner		
(Loct)	(First)	(Middle)		x	Officer (give title below)	Other (specify below)		
(Last) (First) (Middle) 25 GREENS HILL LANE			3. Date of Earliest Transaction (Month/Day/Year) 05/10/2019	President & COO				
C/O CASELLA WASTE SYSTEMS, INC.								
			4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)				
RUTLAND	VT	05701		X	Form filed by One Repo Form filed by More than Person	C C		
(City)	(State)	(Zip)			r cison			

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership		
			Code	de V Amount (A) or (D) P		Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)		
Class A Common Stock	05/10/2019		М		41,824	Α	\$4	380,668	D		
Class A Common Stock	05/10/2019		S		41,824	D	\$38.18(1)	338,844	D		
Class A Common Stock	05/13/2019		М		5,076	A	\$4	343,926	D		
Class A Common Stock	05/13/2019		S		5,076	D	\$37.8038(2)	338,844	D		
Class A Common Stock	05/14/2019		М		25,566	A	\$4	364,410	D		
Class A Common Stock	05/14/2019		М		10,034	A	\$5.71	374,444	D		
Class A Common Stock	05/14/2019		S		35,600	D	\$38.0167(5)	338,844	D		

 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. Transa Code (8)		5. Numl of Derivati Securiti Acquire (A) or Dispose of (D) (I 3, 4 and	ive ies ed ed nstr.	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Employee Stock Option (right to buy)	\$4	05/10/2019		М		41,824		(3)	12/05/2022	Class A Common Stock	41,824	\$0	0	D	
Employee Stock Option (right to buy)	\$4	05/13/2019		М		5,076		(3)	12/05/2022	Class A Common Stock	5,076	\$0	0	D	
Employee Stock Option (right to buy)	\$4	05/14/2019		М		25,566		(3)	12/05/2022	Class A Common Stock	25,566	\$0	0	D	
Employee Stock Option (right to buy)	\$5.71	05/14/2019		М		10,034		(4)	12/11/2023	Class A Common Stock	10,034	\$0	0	D	

Explanation of Responses:

1. Represents the weighted average sales price for shares sold in multiple transactions, ranging from \$38.455. Upon request of the staff of the Securities and Exchange Commission, the issuer or a security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price.

2. Represents the weighted average sales price for shares sold in multiple transactions, ranging from \$37.80 to \$37.825. Upon request of the staff of the Securities and Exchange Commission, the issuer or a security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price.

3. The option vested on December 5, 2015.

4. The option vested on December 31, 2013.

5. Represents the weighted average sales price for shares sold in multiple transactions, ranging from \$38.00 to \$38.09. Upon request of the staff of the Securities and Exchange Commission, the issuer or a security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price.

/s/ Edwin D. Johnson

** Signature of Reporting Person

05/14/2019 Date

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

 \ast 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.