## 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).

### 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										
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1. Name and Addre	1 0	Person <sup>*</sup>	2. Issuer Name and Ticker or Trading Symbol CASELLA WASTE SYSTEMS INC [ CWST		ationship of Reporting Pe k all applicable)	erson(s) to Issuer
CASELLA J	<u>UHN W</u>			X	Director	10% Owner
(Last)	(First)	(Middle)		x	Officer (give title below)	Other (specify below)
C/O CASELLA	· · /	( )	3. Date of Earliest Transaction (Month/Day/Year) 05/03/2019		Chief Executiv	ve Officer
25 GREENS HILL LANE						
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi Line)	vidual or Joint/Group Fili	ng (Check Applicable
RUTLAND	VT	05701		X	Form filed by One Re	porting Person
	V I	05701			Form filed by More the Person	an One Reporting
(City)	(State)	(Zip)				

#### 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)				5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Class A Common Stock	05/03/2019		М		16,230	Α	\$5.54	422,204	D	
Class A Common Stock	05/03/2019		М		8,012	A	\$12.48	430,216	D	
Class A Common Stock	05/03/2019		S		45,124	D	\$37.312(2)	385,092	D	
Class B Common Stock								494,100	D	
Class A Common Stock								694	I	See Footnote <sup>(1)</sup>

## 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	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code ( 8)		5. Numb of Derivati Securiti Acquire (A) or Dispose of (D) (II 3, 4 and	ve es d ed nstr.	6. Date Exerc Expiration Da (Month/Day/Y	ate	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)	\$5.54	05/03/2019		М		16,230		(3)	12/13/2023	Class A Common Stock	16,230	\$0	0	D	
Employee Stock Option (right to buy)	\$12.48	05/03/2019		М		8,012		(4)	11/17/2026	Class A Common Stock	8,012	\$0	0	D	

#### Explanation of Responses:

1. Held by Mr. Casella's spouse. Mr. Casella disclaims beneficial ownership of the securities indicated to the extent to which he does not have an actual pecuniary interest in such securities.

2. Represents the weighted average sales price for shares sold in multiple transactions, ranging from \$36.95 to \$37.89. Upon request of the staff of the Securities and Exchange Commission, the issuer or a security holder of the issuer the reporting porcent will provide full information recording the number of charge cold at each concerts price.

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 in one third increments; one third on December 13, 2014, one third on December 13, 2015 and one third on December 13, 2016.

4. The option vested on February 20, 2019.

<u>/s/ John W. Casella</u>

\*\* Signature of Reporting Person

05/07/2019

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.

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