

ALKALINE WATER Co INC

Form 3

October 25, 2013

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

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**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Nickolas Steven Paul

(Last) (First) (Middle)

14301 NORTH 87 STREET,  
SUITE 109

(Street)

SCOTTSDALE, AZ 85260

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

10/25/2013

3. Issuer Name and Ticker or Trading Symbol

ALKALINE WATER Co INC [WTER]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

☒ Director ☒ 10% Owner☒ Officer ☐ Other  
(give title below) (specify below)

President CEO Chairman

6. Individual or Joint/Group Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities Beneficially Owned  
(Instr. 4)3. Ownership Form:  
Direct (D)  
or Indirect (I)  
(Instr. 5)4. Nature of Indirect Beneficial Ownership  
(Instr. 5)

Common Stock

21,500,000

I

WiN Investments, LLC <sup>(1)</sup>

Common Stock

21,500,000

I

Lifewater Industries, LLC <sup>(2)</sup>Series A Preferred Stock <sup>(3)</sup>

10,000,000

D

A

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

SEC 1473 (7-02)

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**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security

2. Date Exercisable and Expiration Date  
(Month/Day/Year)

3. Title and Amount of Securities Underlying

4. Conversion

5. Ownership

6. Nature of Indirect Beneficial

## Edgar Filing: ALKALINE WATER Co INC - Form 3

(Instr. 4)			Derivative Security (Instr. 4)		or Exercise Price of Derivative Security	Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Stock Options	10/09/2013 <sup>(4)</sup>	10/09/2023	Common Stock	3,000,000	\$ 0.605	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Nickolas Steven Paul 14301 NORTH 87 STREET, SUITE 109 SCOTTSDALE, AZ 85260	Â X	Â X	Â President CEO Chairman	Â

## Signatures

/s/ Steven  
Nickolas

10/25/2013

\*\*Signature of  
Reporting Person

Date

## Explanation of Responses:

\* 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).

- (1) Steven P. Nickolas is the manager of WiN Investments, LLC and holds voting and dispositive control over these shares.
- (2) Steven P. Nickolas is the manager of Lifewater Industries, LLC and holds voting and dispositive control over these shares.
- (3) The Series A Preferred Stock has 10 votes per share and is not convertible into shares of common stock.
- (4) The stock options vest as follows: (i) 1,000,000 on October 9, 2013; and (ii) 500,000 per quarter until fully vested.

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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