

SPARK ENERGY, INC. Reported by JONES JAMES G II

FORM 4

(Statement of Changes in Beneficial Ownership)

Filed 05/21/19 for the Period Ending 05/18/19

Address 12140 WICKCHESTER LANE

SUITE 100

HOUSTON, TX, 77079

Telephone (713) 600-2600

CIK 0001606268

Symbol SPKE

SIC Code 4931 - Electric and Other Services Combined

Industry Electric Utilities

Sector Utilities Fiscal Year 12/31





[] 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

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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 * | | | | | 2. Issuer Name and Ticker or Trading Symbol | | | | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | |
|--|---|-------------------|---------------------------------------|--------------|--|------------------------------|---------------------------|------------------------------|--|---|---|-------------|---|-------------|--|---|--|
| Jones James | G II | | | \mathbf{S} | park | k Ene | ergy, Inc | . [S] | PKE |] | | | | | | | |
| (Last) (First) (Middle) | | | | | 3. Date of Earliest Transaction (MM/DD/YYYY) | | | | | | | | X _ Director10% OwnerOfficer (give title below)Other (specify below) | | | | |
| 12140 WICKCHESTER LANE SUITE 100 | | | | | 5/18/2019 | | | | | | | | | | | | |
| | (Stre | eet) | | 4. | If Ar | nendn | nent, Date (| Origir | nal File | ed (MM/I | DD/YYYY | 7) 6 | . Individual o | or Joint/G | roup Filing | (Check Appl | licable Line) |
| HOUSTON, | | | | | | | | | | | | - | X _ Form filed by | | orting Person One Reporting F | Person | |
| (C | ity) (Sta | ate) (Zip |) | | | | | | | | | | r orm med by | Wore than (| one reporting i | Cison | |
| | | , | Table I - | - Non-De | rivat | ive Se | curities A | cquir | ed, Dis | sposed | of, or B | enef | icially Own | ed | | | |
| 1.Title of Security (Instr. 3) 2. Trans. I | | | | Trans. Date | Exec | Deemed oution , if any | 3. Trans. C (Instr. 8) | 3. Trans. Code (Instr. 8) | | 4. Securities Acq or Disposed of (I (Instr. 3, 4 and 5) | | Follo | dlowing Reported Transaction(s) Ownership of Indi str. 3 and 4) Ownership Form: | | | 7. Nature of Indirect Beneficial Ownership | |
| | | | | | | Code | V | Amou | Amount (A) or (D) Price | | | 1 6 2 | | | | (Instr. 4) | |
| Class A Common Stock 5/18/201 | | | | 5/18/2019 | | | M | | 4242 | (1) A | \$0 | | 58129 | | | D | |
| | Tab | le II - Deri | vative Se | ecurities | Bene | ficiall | ly Owned (| (e.g. | , puts, | calls, v | varrant | s, op | otions, conve | rtible sec | curities) | | |
| 1. Title of Derivate Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Trans. Date | 3A. Deeme Execution Date, if an | | Derivativ Securitie (A) or D (D) | | | | Date Exercisable and xpiration Date | | 7. Title and A Securities Un Derivative Se (Instr. 3 and 4 | | nderlying Deriv ecurity Secur | | 9. Number of derivative Securities Beneficially Owned Following | Form of Derivative Security: Direct (D) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
| | | | | Code | v | (A) | (D) | Date Exerc | eisable E | Expiration Date | Title | | Amount or Number of Shares | | Reported Transaction(s) (Instr. 4) | or Indirect (I) (Instr. 4) | |
| Restricted Stock Unit | (2) | 5/18/2019 | | М | | | 4242 (1) | 2 | (2) | (2) | Class Comn Stock | ıon | 4242.0 | \$0 | 11084 (3) | D | |
| Restricted Stock Unit | <u>(2)</u> | 5/18/2019 | | D | | | 2284 (1) | (| (2) | <u>(2)</u> | Class Comn Stock | ion | 2284.0 | \$10.25 | 8800 (3) | D | |

Explanation of Responses:

- (1) The shares of Class A Common Stock, par value \$0.01 per share (the "Class A Common Stock"), reported represents shares issued as a result of vesting of 6,526 restricted stock units (the "Restricted Stock Units") on May 18, 2019. Of the 6,526 Restricted Stock Units, 4,242 Restricted Stock Units were settled in shares of Class A Common Stock and 2,284 Restricted Stock Units were cash settled based on the closing price on May 17, 2019.
- (2) Each Restricted Stock Unit represents a right to receive, upon vesting, one share of Class A Common Stock of Spark Energy, Inc., cash, or a combination of both. Each Restricted Stock Unit includes tandem dividend equivalents which will vest upon the same schedule as the underlying Restricted Stock Unit.
- (3) Balance includes original grants of Restricted Stock Units and dividend equivalents issued in additional Restricted Stock Units.

Reporting Owners

| Reporting Owners | | | | | | | | | | |
|----------------------------------|---------------|-----------|---------|-------|--|--|--|--|--|--|
| Reporting Owner Name / Address | Relationships | | | | | | | | | |
| Reporting Owner Name / Address | Director | 10% Owner | Officer | Other | | | | | | |
| Jones James G II | | | | | | | | | | |
| 12140 WICKCHESTER LANE SUITE 100 | X | | | | | | | | | |
| HOUSTON, TX 77079 | | | | | | | | | | |

Signatures

/s/ James G. Jones II, by C. Alexis Keene as Attorney-in-Fact

5/21/2019

** Signature of Reporting Person

Date

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 control number.