

# SPARK ENERGY, INC. Reported by MAXWELL W KEITH III

### FORM 4

(Statement of Changes in Beneficial Ownership)

## Filed 05/30/19 for the Period Ending 05/28/19

Address 12140 WICKCHESTER LANE

SUITE 100

HOUSTON, TX, 77079

Telephone (713) 600-2600

CIK 0001606268

Symbol SPKE

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.  | 2. Issuer Name and Ticker or Trading Symbol  |          |   |                  |   |                    | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable)                            |   |  |  |   |   |  |
|--|---|-------------|--------|---------------------------------------|---|--|----------|---|------------------|---|--------------------|--|---|--|--|---|---|--|
| Maxwell W Keith III                            |   |             |        |                                       |   | Spark Energy, Inc. [ SPKE ]                  |          |   |                  |   |                    |  | X Director  |  | v                                      | 109/ Ownar  | -   |  |
| (Last)   | (First  | t) (Middle) |        |                                       |   | 3. Date of Earliest Transaction (MM/DD/YYYY) |          |   |                  |   |                    |  | X Director X 10% Owner Officer (give title below) Other (specify below) |  |  |   |   |  |
| 12140 WICKCHESTER LANE, SUITE<br>100           |   |             |        |                                       | E   | 5/28/2019                                    |          |   |                  |   |                    |  |   |  |  |   |   |  |
| (Street)                                       |   |             |        | 4.                                    | 4. If Amendment, Date Original Filed (MM/DD/YYYY) |  |          |   |                  |   |                    | 6. Individual or Joint/Group Filing (Check Applicable Line)  |   |  |  |   |   |  |
| HOUSTON, TX 77079  (City) (State) (Zip)        |   |             |        |                                       |   |  |          |   |                  |   |                    | X Form filed by One Reporting Person Form filed by More than One Reporting Person                  |   |  |  |   |   |  |
|  |   |             |        |                                       |   |  |          |   | •                | ired, Di                                | sposed             | of, or   |   | neficially Owne                          |  |   |   |  |
| 1.Title of Security (Instr. 3)  2. Trans. Dat  |   |             |        |                                       |   | 3. Trans. Code<br>(Instr. 8)                 |          | 4. Securities Acquire<br>Disposed of (D)<br>(Instr. 3, 4 and 5) |                  | Fo                                      |                    | 5. Amount of Securities Beneficially Owned<br>Following Reported Transaction(s)<br>Instr. 3 and 4) |   |  | 6.<br>Ownership<br>Form:<br>Direct (D) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership                 |   |  |
|  |   |             |        |                                       |   | Code   | V        | Amount  | (A) or (D) Price |   | •                  |  | or Indirect (I) (Instr. 4)  |  |  |   |   |  |
| Class A Common Stock 5/28/2019                 |   |             |        | 019                                   |   |  | P        |   | 10700            | A                                       | 810.51             | <u>(1)</u>   | 2428792   |  |  | D   |   |  |
|  | Tabl  | le II - Der | ivativ | e Secu                                | rities  | Bene   | ficially | Owned   | ( e.g            | , puts                                  | , calls, w         | arrai  | nts,  | options, conve                           | rtible sec                             | urities)  |   |  |
| 1. Title of Derivate<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative | Date        | Execut | A. Deemed Execution Oate, if any Code |   |  |          |   |                  | 6. Date Exercisable and Expiration Date |                    |  | ities   | Underlying Derivati<br>Security Security |  | f 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned | Ownership<br>Form of<br>Derivative<br>Security: | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|  | Security  |             |        |                                       |   | V  | (A)      | (D)   | Da<br>Ex         | ate<br>xercisable                       | Expiration<br>Date | Title  | Ame<br>Shar   | ount or Number of                        |  | Following<br>Reported<br>Transaction(s)<br>(Instr. 4)               | Direct (D)<br>or Indirect<br>(I) (Instr.<br>4)  |  |

#### **Explanation of Responses:**

(1) The price reported in Column 4 is a weighted average price. These shares were purchased in multiple transactions at prices ranging from \$10.39 to \$10.56, inclusive. The reporting person undertakes to provide to Spark Energy, Inc., any security holder of Spark Energy, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the ranges set forth in this footnote.

**Reporting Owners** 

| Treporting o where                |               |           |         |       |  |  |  |  |  |  |
|-----------------------------------|---------------|-----------|---------|-------|--|--|--|--|--|--|
| Reporting Owner Name / Address    | Relationships |           |         |       |  |  |  |  |  |  |
| Reporting Owner Name / Address    | Director      | 10% Owner | Officer | Other |  |  |  |  |  |  |
| Maxwell W Keith III               |               |           |         |       |  |  |  |  |  |  |
| 12140 WICKCHESTER LANE, SUITE 100 | X             | X         |         |       |  |  |  |  |  |  |
| HOUSTON, TX 77079                 |               |           |         |       |  |  |  |  |  |  |

#### **Signatures**

| /s/ W. Keith Maxwell III, by C. Alexis Keene, attorney-in-fact | 5/30/2019 |
|--|-----------|
| **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.