

SPARK ENERGY, INC. Reported by EVANS NICK W JR

FORM 4

(Statement of Changes in Beneficial Ownership)

Filed 09/14/16 for the Period Ending 09/13/16

Address 12140 WICKCHESTER LANE SUITE 100 HOUSTON, TX, 77079 Telephone (713) 600-2600 CIK 0001606268 Symbol SPKE Fiscal Year 12/31

Powered By EDGAR Online

http://www.edgar-online.com

© Copyright 2020, EDGAR Online, a division of Donnelley Financial Solutions. All Rights Reserved. Distribution and use of this document restricted under EDGAR Online, a division of Donnelley Financial Solutions, Terms of Use.

| FORM 4 | |
|--------|--|
|--------|--|

[] 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

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response... 0.5

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 [*] | 6 5 | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) |
|--|--|---|
| Evans Nick W Jr (Last) (First) (Middle) 12140 WICKCHESTER LANE, SUITE 100 | Spark Energy, Inc. [SPKE] 3. Date of Earliest Transaction (MM/DD/YYYY) 9/13/2016 | X Director 10% Owner Officer (give title below) Other (specify below) |
| (Street) HOUSTON, TX 77079 (City) (State) (Zip) | 4. If Amendment, Date Original Filed (MM/DD/YYYY) | 6. Individual or Joint/Group Filing (Check Applicable Line) _X_Form filed by One Reporting PersonForm filed by More than One Reporting Person |

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

| | | | | _ | | | | | |
|----------------|----------------|---------------|--------------------------------------|--------------------------------------|---|---|--|---|---|
| 2. Trans. Date | 2A. Deemed | 3. Trans. Coo | le | 4. Securit | ies Acquir | ed (A) | 5. Amount of Securities Beneficially Owned | 6. | 7. Nature |
| | Execution | (Instr. 8) | | or Dispos | ed of (D) | | Following Reported Transaction(s) | Ownership | of Indirect |
| | Date, if any | | | (Instr. 3, 4 | 4 and 5) | | (Instr. 3 and 4) | Form: | Beneficial |
| | | | | | | | | Direct (D) | Ownership |
| | | | | | | | | or Indirect | (Instr. 4) |
| | | | | | (A) or | | | (I) (Instr. | |
| | | Code | V | Amount | (D) | Price | | 4) | |
| | 2. Trans. Date | Execution | Execution Date, if any (Instr. 8) | Execution (Instr. 8) Date, if any | Execution Date, if any (Instr. 8) or Dispos (Instr. 3, 4) | Execution Date, if any (Instr. 8) or Disposed of (D) (Instr. 3, 4 and 5) (A) or | Execution Date, if any (Instr. 8) or Disposed of (D) (Instr. 3, 4 and 5) (A) or | Execution Date, if any (Instr. 8) or Disposed of (D) (Instr. 3, 4 and 5) (Instr. 3 and 4) (A) or | Execution Date, if any (Instr. 8) or Disposed of (D) (Instr. 3, 4 and 5) Following Reported Transaction(s) Ownership Form: Direct (D) or Indirect (I) (Instr. |

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

| 1. Title of Derivate Security (Instr. 3) | - | 3. Trans. Date | 3A. Deemed Execution Date, if any | Code (Instr. 8) | | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | 1 | | Securities Underlying Derivative Security | | Derivative Security (Instr. 5) | | Ownership Form of Derivative | Beneficial Ownership (Instr. 4) |
|--|----------------|-------------------|---|--------------------|---|---|-----|---------------------|--------------------|--|----------------------------------|--------------------------------------|-----------------|------------------------------------|---------------------------------------|
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | Transaction(s) | or Indirect (I) (Instr. 4) | |
| Restricted Stock Unit | <u>(1) (2)</u> | 9/13/2016 | | Α | | 45 <u>(3)</u> | | <u>(2)</u> | <u>(2)</u> | Class A Common Stock | 45.0 | \$29.20 | 3709 <u>(4)</u> | D | |

Explanation of Responses:

- (1) Each restricted stock unit ("RSU") represents a right to receive, upon vesting, one share of Class A Common Stock, par value \$0.01 per share (the "Class A Common Stock"), of Spark Energy, Inc., cash, or a combination of both. Each RSU includes tandem dividend equivalents which will vest upon the same schedule referenced in Footnote 2.
- (2) Each of these RSUs vests and pays out upon vesting and payout of the underlying award of RSUs to which the dividend equivalent payment relates.

9/14/2016 Date

- (3) These RSUs accrued on outstanding RSUs held by the reporting person as a result of a dividend equivalent payment made to the holder when the Company paid its most recent quarterly dividend on the Class A Common Stock.
- (4) Balance includes original grants of RSUs and dividend equivalents issued in additional RSUs.

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|---|---------------|-----------|---------|-------|--|--|--|
| Reporting Owner Name / Address | Director | 10% Owner | Officer | Other | | | |
| Evans Nick W Jr 12140 WICKCHESTER LANE SUITE 100 HOUSTON, TX 77079 | X | | | | | | |

Signatures

/s/ Nick W. Evans Jr., by Gil Melman, Attorney-in-fact

**Signature of Reporting Person

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.