

SPARK ENERGY, INC. Reported by HARTWICK KENNETH MICHAEL

FORM 4

(Statement of Changes in Beneficial Ownership)

Filed 12/15/16 for the Period Ending 12/14/16

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 [*]	e ;	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
Hartwick Kenneth Michael (Last) (First) (Middle) 12140 WICKCHESTER LANE SUITE 100	Spark Energy, Inc. [SPKE] 3. Date of Earliest Transaction (MM/DD/YYYY) 12/14/2016	X _ Director 10% Owner 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

					_					
1. Title of Security	2. Trans. Date	2A. Deemed	3. Trans. Cod	le	4. Securit	ies Acquir	ed (A)	5. Amount of Securities Beneficially Owned	6.	7. Nature
(Instr. 3)		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)	

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

						-				-					
1. Title of Derivate Security (Instr. 3)	-	ercise of ative	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)	9. Number of derivative Securities Beneficially Owned Following	Ownership Form of Derivative	Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Reported Transaction(s) (Instr. 4)	or Indirect (I) (Instr. 4)	
Restricted Stock Unit	<u>(1) (2)</u>	12/14/2016		Α		128 <u>(3)</u>		<u>(2)</u>	<u>(2)</u>	Class A Common Stock	128.0	\$25.05	8960 <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.
- (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				
Hartwick Kenneth Michael 12140 WICKCHESTER LANE SUITE 100 HOUSTON, TX 77079	X							

Signatures

/s/ Kenneth M. Hartwick, by Gil Melman as Attorney-in-Fact	12/15/2016
** 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.