

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

## FORM 4

(Statement of Changes in Beneficial Ownership)

## Filed 12/01/17 for the Period Ending 11/29/17

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						bol		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
Maxwell W Keith III					Sı	Spark Energy, Inc. [ SPKE ]											
(Last)	(Last) (First) (Middle)				3.	3. Date of Earliest Transaction (MM/DD/YYYY)								X _ Director X _ 10% Owner  Officer (give title below) Other (specify below)			
12140 WICKCHESTER LANE, SUITE 100,						11/29/2017											
(Street)				4.	4. If Amendment, Date Original Filed (MM/DD/YYYY)							Y) 6. Individual	6. Individual or Joint/Group Filing (Check Applicable Line)				
HOUSTON, TX 77079 (City) (State) (Zip)														Form filed by One Reporting Person X Form filed by More than One Reporting Person			
			Table	e I - Noi	ı-De	rivati	ive Sec	urities A	cqu	ired, D	sposed	of, or	Beneficially Own	ed			
1.Title of Security (Instr. 3) 2. Trans. Dat			I	2A. De Execut Date, it	ion	3. Trans. Code (Instr. 8)		4. Securities Acquired Disposed of (D) (Instr. 3, 4 and 5)				5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)		6. 7. Nature Ownership Form: Beneficial Direct (D) Ownership			
								Code	V	Amount	(A) or (D)	Price				or Indirect (I) (Instr. 4)	Ownership (Instr. 4)
Class A Common Stock 11/29/2017				17			P (1)		4100	A	\$12.61	(2)	858999				
Class A Common Stock													715382			See footnotes	
	Tab	le II - Der	ivativ	e Secur	ities	Bene	ficially	Owned	( e.g	g. , puts	calls, v	warran	ts, options, conve	rtible sec	eurities)		
1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative	Date	Execut	A. Deemed A. Cxecution Date, if any			e 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			6. Date Exercisable and Expiration Date			e and Amount of ties Underlying titive Security 3 and 4)	8. Price of Derivative Security (Instr. 5)	derivative Securities Beneficially Owned	Ownership Form of Derivative Security:	11. Nature of Indirect Beneficial Ownership (Instr. 4)
	Security			Cod	Code	V	(A)	(D)		ate xercisable	Expiratio Date		Amount or Number of Shares		Following Reported Transaction(s) (Instr. 4)	Direct (D) or Indirect (I) (Instr. 4)	

### **Explanation of Responses:**

- (1) The purchase of Class A Common Stock reported herein by the reporting person may be matchable under Section 16(b) of the Securities and Exchange Act of 1934, as amended, with the sale of shares of Class A Common Stock which occurred in the past six months. Prior to this purchase, W. Keith Maxwell has agreed to pay Spark Energy, Inc. the full amount of the profit realized in connection with the short-swing transaction as soon as practicable after information is available for the highest sales price and lowest purchase price during the six month period in which this transaction occurs.
- (2) The price reported in column 4 is a weighted average price. These shares were purchased in multiple transactions at prices ranging from \$12.50 to \$12.65, 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.
- (3) Held directly by Retailco, LLC ("Retailco"). Retailco is a wholly-owned subsidiary of TxEx Energy Investments, LLC, which is wholly owned by W. Keith Maxwell.

### **Reporting Owners**

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						
Retailco, LLC						
12140 WICKCHESTER LANE		X				
SUITE 100		Λ				
HOUSTON, TX 77079						
TxEx Energy Investments, LLC						
12140 WICKCHESTER LANE		X				
SUITE 100		Λ				

Signatures	
/s/ W. Keith Maxwell III, by Gil Melman, Attorney-in-fact	12/1/2017
**Signature of Reporting Person	Date
/s/ Retailco, LLC, by Gil Melman, Attorney-in-fact	12/1/2017
**Signature of Reporting Person	Date
/s/ TxEx Energy Investments, LLC, by Gil Melman, Attorney-in-fact	12/1/2017
** Signature of Reporting Person	Date

**HOUSTON, TX 77079** 

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.