

# SPARK ENERGY, INC. Reported by EVANS NICK W JR

#### FORM 4

(Statement of Changes in Beneficial Ownership)

### Filed 05/20/20 for the Period Ending 05/18/20

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

Name and Address of Reporting Person *					2. Issuer Name <b>and</b> Ticker or Trading Symbol									5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
Evans Nick V	W Jr			Sp	ark	Ene	rgy, Inc.	. [ S	PKE	[ ]								
(Last) (First) (Middle)				3. I	3. Date of Earliest Transaction (MM/DD/YYYY)								T	X_ Director10% Owner  Officer (give title below) Other (specify below)				
12140 WICKCHESTER LANE, SUITE 100				ΓE	5/18/2020									Omcer (giv	e title below	7)Oth	er (specify t	elow)
	(Stre	et)		4. I	lf An	nendm	ent, Date C	Origi	nal Fi	led (N	IM/E	D/YYYY)	6.	Individual o	or Joint/G	roup Filing (	Check Appl	icable Line)
HOUSTON,	TX 7707	9											_>	_ Form filed by		ting Person One Reporting P	erson	
(C	ity) (Sta	te) (Zip)	l											_ 1 omi med by	iviore man c	one reporting i	CISOII	
		7	Γable I - I	Non-Der	ivati	ive Sec	curities Ac	quir	ed, D	ispos	ed o	of, or Be	enefi	cially Own	ed			
1. Title of Security (Instr. 3)			]	2A. De Execu Date, i		3. Trans. Co (Instr. 8)	de	4. Securities Acquor Disposed of (D. (Instr. 3, 4 and 5)				5. Amount of Secu Following Reporte (Instr. 3 and 4)		rities Beneficially Owned d Transaction(s)		6. Ownership Form: Direct (D)	7. Nature of Indirect Beneficial Ownership	
							Code	V	Amou		) or D)	Price						(Instr. 4)
Class A Common Stock 5/18/202				8/2020			M		9472	1)	A	\$0 <sup>(1)</sup>		48407			D	
Class A Common Stock 5/18/2020				8/2020			D		9472	1)	D	\$6.77 <sup>(1)</sup>		38935			D	
Class A Common Stock														2684			I	By Spouse
	Tab	le II - Deri	vative Se	curities	Bene	eficiall	y Owned	(e.g.,	, puts	, calls	s, wa	arrants,	opt	ions, convei	tible secu	urities)		
1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans. Date	3A. Deemed Execution Date, if any	4. Trans. Code (Instr. 8)	Deriva Securit (A) or (D)			6. Date Exercisable and Expiration Date		and	7. Title and A Securities Un Derivative Se (Instr. 3 and		Underlying Derivative Security Security		9. Number of derivative Securities Beneficially Owned Following Reported	Form of Derivative	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	V	(A)	(D)	Date Exercis	cisable	Expira Date	tion	Title		Amount or Number of Shares			(I) (Instr. 4)	
Restricted Stock Unit	<u>(2)</u>	5/18/2020		M			9472		(3)	<u>(3</u>	1	Class A Commo Stock	on	9472.0	\$0	0	D	

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

- (1) The shares of Class A Common Stock, par value \$0.01 per share (the "Class A Common Stock"), reported represent shares issued as a result of vesting of 9,472 restricted stock units (the "Restricted Stock Units") on May 18, 2020. The 9,472 Restricted Stock Units were cash settled based on the closing price on the date of vesting.
- (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) On March 25, 2019, the reporting person received a grant of 8,800 Restricted Stock Units and tandem dividend equivalent rights that vested in full on March 18, 2020.

**Reporting Owners** 

Paparting 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								

#### **Signatures**

/s/ Nick W. Evans Jr., by Dominique R. Colvard, Attorney-in-fact

5/20/2020

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.