

# SPARK ENERGY, INC. Reported by JONES JAMES G II

### 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

SIC Code 4931 - Electric and Other Services Combined

Industry Electric Utilities

Sector Utilities

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)				
Jones James G II					Spark Energy, Inc. [ SPKE ]													
(Last) (First) (Middle)				3.	3. Date of Earliest Transaction (MM/DD/YYYY)								Ť	Director10% Owner  X Officer (give title below) Other (specify below)				
12140 WICKCHESTER LANE SUITE 100				TE	5/18/2020									A_Officer (gr			ner (specify t	below)
	(Str	reet)		4.	If A	mendme	nt, Date O	rigir	nal Fi	led (M	IM/DI	D/YYYY	6.	Individual o	or Joint/G	roup Filing	(Check Appl	icable Line)
HOUSTON	,	<b>79</b> tate) (Zi	n)										_>	C_Form filed by Form filed by		ting Person One Reporting P	'erson	
(	eny) (Bi			· Non-Dei	riva	tive Secu	ırities Ac	quir	ed, D	isposo	ed of	f, or Bo	enefi	icially Owne	ed			
1.Title of Security (Instr. 3) 2. Trans. I			Trans. Date	Exe	Deemed ecution e, if any	3. Trans. Co (Instr. 8)	or Dis		sposed of (D) . 3, 4 and 5)			5. Amount of Secur Following Reported (Instr. 3 and 4)				6. Ownership Form: Direct (D)	7. Nature of Indirect Beneficial Ownership	
							Code	V	Amo		(A) or (D)	Price						(Instr. 4)
Class A Common	Stock		5	5/18/2020			M		15535		A	\$0 <u>(1)</u>		,	73664		D	
Class A Common Stock 5/18/202				5/18/2020			F		3774	(2)	D	\$6.77	69890			D		
	Ta	ble II - Dei	rivative S	Securities	Bei	neficially	Owned (	e.g.,	puts,	calls	, wa	rrants,	opt	ions, conver	tible secu	urities)		
1. Title of Derivate Security (Instr. 3)	Conversion or Exercise Price of Derivative	3. Trans. Date	3A. Deeme Execution Date, if any	Code	5. Number Derivative Acquired ( Disposed o (Instr. 3, 4		Securities A) or of (D)		Date Exercisable and Expiration Date			7. Title and A Securities Ur Derivative So (Instr. 3 and		lerlying curity	Derivative Security	9. Number of derivative Securities Beneficially Owned	Form of Derivative Security:	11. Nature of Indirect Beneficial Ownership (Instr. 4)
	Security			Code	v	(A)	(D)	Date Exer	cisable	Expira Date	ation	Title		Amount or Number of Shares		Following Reported Transaction(s) (Instr. 4)	Direct (D) or Indirect (I) (Instr. 4)	
Restricted Stock Unit	(3)	5/18/2020		М			15535		<u>(4)</u>	<u>(4</u>	<u>1)</u>	Class Comm Stock	on	15535.0	\$0	16167 <sup>(5)</sup>	D	
Restricted Stock Unit	(3)	5/18/2020		A		38015			<u>(6)</u>	<u>(6</u>	<u>)</u>	Class Comm Stock	on	38015.0	\$0	38015	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 15,535 restricted stock units (the "Restricted Stock Units") on May 18, 2020.
- (2) Payment for tax liability through the withholding of shares of Class A Common Stock in an amount equal to the requisite withholding obligation.
- (3) Each Restricted Stock Unit represents a right to receive, upon vesting, one share of Class A Common Stock, 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.
- (4) These RSUs vest ratably over the next three years.
- (5) Balance includes original grants of Restricted Stock Units and dividend equivalents issued in additional Restricted Stock Units.
- (6) These Restricted Stock Units vest ratably over the next four years beginning on May 18, 2021.

#### **Reporting Owners**

Reporting Owner Name / Address	Relationships							
Reporting Owner Name / Address	Director	10% Owner	Officer	Other				
Jones James G II								
12140 WICKCHESTER LANE SUITE 100			Chief Financial Officer					
HOUSTON, TX 77079								

#### **Signatures**

\*\*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.