

# SPARK ENERGY, INC. Reported by HARTWICK KENNETH MICHAEL

## 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

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FORM 4	
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[] 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 <sup>*</sup>	2. Issuer Name <b>and</b> Ticker or Trading Symbol	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) 5/18/2020	X_Director10% Owner0 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 Person Form filed by More than One Reporting Person				

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

1. Title of Security (Instr. 3)		(Instr. 8)		4. Securities Acquired ( or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)		7. Nature of Indirect Beneficial
		Code	v	Amount	(A) or (D)	Price		Direct (D) or Indirect (I) (Instr. 4)	
Class A Common Stock	5/18/2020	М		9472 <u>(1)</u>	Α	\$0 <u>(1)</u>	57313	D	
Class A Common Stock	5/18/2020	D		9472 <u>(1)</u>	D	\$6.77 <mark>(1)</mark>	47841	D	

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

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1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans. Date	3A. Deemed Execution Date, if any	Code				quired ed of		Securities Underlying Derivative Security		Derivative Security (Instr. 5)	Securities Beneficially Owned	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>(2)</u>	5/18/2020		М			9472	<u>(3)</u>	<u>(3)</u>	Class A Common Stock	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 May 18, 2020.

#### **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 Dominique R. Colvard, Attorney-in-Fact

Signature of Reporting Person

5/20/2020 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.

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