

# SPARK ENERGY, INC. Reported by KROEKER NATHAN

### FORM 4

(Statement of Changes in Beneficial Ownership)

## Filed 08/05/14 for the Period Ending 08/01/14

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

| 1. Name and Address of Reporting Person *      |   |                   |   |   | 2. Issuer Name and Ticker or Trading Symbol  |                              |                               |   |                    |                      |   | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) |                                  |                        |   |   |              |
|--|---|-------------------|---|---|--|------------------------------|-------------------------------|---|--------------------|----------------------|---|---|----------------------------------|------------------------|---|---|--------------|
| Kroeker Nat                                    | han   |                   |   |   |  | k Energ                      |                               | -   |                    |                      |   |   | X Director                       |                        | 1   | 0% Owner  |              |
| (Last)   | (First  | ) (Mi             | iddle)                                  | 3. 1                                    | 3. Date of Earliest Transaction (MM/DD/YYYY) |                              |                               |   |                    |                      | X Director  |   |                                  |                        | fy below)   |   |              |
| 2105 CITYWEST BLVD., SUITE 100                 |   |                   |   | 0                                       | 8/1/2014                                     |                              |                               |   |                    |                      |   | 30  | e Kemarks                        |                        |   |   |              |
|  | (Stre   | et)               |   | 4. 1                                    | lf Ar  | nendmen                      | t, Date                       | Origir  | nal Fi             | iled (MM/I           | DD/YYYY   | ) 6.  | Individual of                    | or Joint/G             | roup Filing   | (Check Appl   | icable Line) |
| HOUSTON,                                       |   |                   |   |   |  |                              |                               |   |                    |                      |   | _ ;   | X _ Form filed l                 |                        | rting Person<br>One Reporting F                                   | 'erson  |              |
| (C   | ity) (Sta   | te) (Zij          | p)                                      |   |  |                              |                               |   |                    |                      |   |   | _ 1 01111 11104 0 )              |                        | one reporting r   |   |              |
|  |   |                   | Table I -                               | Non-Der                                 | ivat   | ive Secu                     | rities A                      | cquir   | ed, D              | Disposed             | of, or B  | enefi   | cially Own                       | ed                     |   |   |              |
| 1. Title of Security (Instr. 3)                |   |                   |   | 2A. Deemed<br>Execution<br>Date, if any |  | 3. Trans. Code<br>(Instr. 8) |                               | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) |                    | D) ` ´               | 5. Amount of Secu<br>Following Reporte<br>(Instr. 3 and 4)          |   |                                  |                        | Ownership of Indir<br>Form: Benefic                               | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |              |
|  |   |                   |   |   |  |                              | Code                          | V   | Amo                | ount (A) o           |   |   |                                  |                        |   |   | (Instr. 4)   |
|  | Tabl  | le II - Deri      | ivative Se                              | curities l                              | Bene   | eficially (                  | Owned (                       | ( e.g.  | , put              | s, calls, v          | varrants  | , op  | tions, conve                     | rtible sec             | urities)  |   |              |
| 1. Title of Derivate<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative | 3. Trans.<br>Date | 3A. Deemed<br>Execution<br>Date, if any | Code                                    |  | Acquired (<br>Disposed of    | rative Securities ired (A) or |   | te Exer<br>ation I | rcisable and<br>Date | 7. Title and A<br>Securities Un<br>Derivative Se<br>(Instr. 3 and 4 |   | rlying                           | Derivative<br>Security | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned | Form of Derivative Security:                        | Beneficial   |
|  | Security  |                   |   | Code                                    | V  | (A)                          | (D)                           | Date<br>Exerc   | isable             | Expiration<br>Date   | Title   |   | Amount or<br>Number of<br>Shares |                        | Following<br>Reported<br>Transaction(s)<br>(Instr. 4)             | Direct (D)<br>or Indirect<br>(I) (Instr.<br>4)      |              |
| Restricted Stock<br>Unit                       | <u>(1)</u>  | 8/1/2014          |   | A                                       |  | 50000                        |                               | (   | 2)                 | <u>(2)</u>           | Class<br>Comm<br>Stock  | on  | (1)                              | \$0.00                 | 50000   | 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, 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) The RSUs will vest ratably over four years commencing May 4, 2015.

#### Remarks:

Mr. Kroeker is President and Chief Executive Officer of Spark Energy, Inc. Mr. Kroeker also serves on the board of directors of Spark Energy, Inc.

**Reporting Owners** 

| Reporting Owner Name / Address | Relationships |           |             |       |  |  |  |
|--------------------------------|---------------|-----------|-------------|-------|--|--|--|
| Reporting Owner Name / Address | Director      | 10% Owner | Officer     | Other |  |  |  |
| Kroeker Nathan                 |               |           |             |       |  |  |  |
| 2105 CITYWEST BLVD., SUITE 100 | X             |           | See Remarks |       |  |  |  |
| HOUSTON, TX 77042              |               |           |             |       |  |  |  |

#### **Signatures**

/s/ Nathan Kroeker, by Gil Melman as Attorney-in-Fact

\*\*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.