

# SPARK ENERGY, INC. Reported by HARTWICK KENNETH MICHAEL

#### FORM 4

(Statement of Changes in Beneficial Ownership)

### Filed 09/18/17 for the Period Ending 09/14/17

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. Issuer Name and Ticker or Trading Symbol								5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
Hartwick Kenneth Michael					Spark Energy, Inc. [ SPKE ]								`	X Director 10% Owner					
(Last)	(Last) (First) (Middle)				3. Date of Earliest Transaction (MM/DD/YYYY)							7)		Officer (give title below) Other (specify below)					
12140 WICKCHESTER LANE SUITE 100					9/14/2017														
(Street)				4. I	4. If Amendment, Date Original Filed (MM/DD/YYYY)								7) 6	6. Individual or Joint/Group Filing (Check Applicable Line)					
HOUSTON, TX 77079 (City) (State) (Zip)														_ X _ Form filed by One Reporting Person Form filed by More than One Reporting Person					
		7	Гable I - N	Non-Der	ivati	ve Secu	rities A	cqu	ired, I	Disp	osed o	of, or B	enef	icially Owne	ed				
1.Title of Security (Instr. 3)  2. Trans. D						(Instr. 8)		or D	Securities Acquar Disposed of (Enstr. 3, 4 and 5)		Follo		Amount of Securities Beneficially Owned sollowing Reported Transaction(s) astr. 3 and 4)		Form: Direct (D)	7. Nature of Indirect Beneficial Ownership			
						Code	1	V Amo	mount (A		Price					or Indirect (Instr. 4) (I) (Instr. 4)			
Class A Common Stock													33352 (1)			D			
	Tabl	le II - Deriv	vative Sec	urities F	Benef	ficially (	Owned	( e.g	g. , put	s, ca	alls, w	arrant	s, op	otions, conve	rtible sec	urities)			
1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	Date Ex	3A. Deemed Execution Date, if any	4. Trans. Code (Instr. 8)		5. Number of Derivative Securities Acquires (A) or Disposed of (D) (Instr. 3, 4 and 5)		Exp	6. Date Exe Expiration 1			7. Title and An Securities Und Derivative Sec (Instr. 3 and 4)		nderlying Derivativ ecurity Security		9. Number of derivative Securities Beneficially Owned Following	Ownership Form of Derivative Security: Direct (D)	Beneficial	
				Code	V	(A)	(D)	Da: Exc	ite ercisable	Expiration Date		Title		Amount or Number of Shares		Reported Transaction(s) (Instr. 4)	or Indirect (I) (Instr. 4)		
Restricted Stock Unit	(2)(3)	9/14/2017		A		168 (4)	L		<u>(3)</u>		(3)	Class Comn Stock	ion	168.0	\$16.25	15240 (1)(5)	D		

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

- (1) This amount reflects the effect of a two-for-one stock split of the Company's Common Stock for all shares of record on June 5, 2017.
- (2) 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 (the "Class A Common Stock"), 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 3.
- (3) Each of these RSUs vests and pays out upon vesting and payout of the underlying award of RSUs to which the dividend equivalent relates.
- (4) These RSUs accrued on outstanding RSUs held by the reporting person as a result of a dividend equivalent payment made to the holder when the Company paid its most recent quarterly dividend on the Class A Common Stock.
- (5) Balance includes original grants of RSUs and dividend equivalents issued in additional RSUs.

**Reporting Owners** 

Reporting Owner Name / Address	Relationships							
Reporting Owner Name / Address	Director	10% Owner	Officer	Other				
Hartwick Kenneth Michael								
12140 WICKCHESTER LANE SUITE 100	X							
HOUSTON, TX 77079								

#### **Signatures**

/s/ Kenneth M. Hartwick, by Gil Melman as Attorney-in-Fact

9/18/2017

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.