Spark Energy, Inc. Form 4/A May 16, 2016

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

(Print or Type Responses)

1(b).

(Last)

SUITE 100

(City)

1. Name and Address of Reporting Person \* Hodges Georganne

12140 WICKCHESTER LANE.,

(First) (Middle)

2. Issuer Name and Ticker or Trading Symbol

Spark Energy, Inc. [SPKE]

3. Date of Earliest Transaction

05/04/2016

(Month/Day/Year)

Director 10% Owner X\_ Officer (give title Other (specify below)

5. Relationship of Reporting Person(s) to

below) Vice President & CFO

(Check all applicable)

(Street) 4. If Amendment, Date Original

> Filed(Month/Day/Year) 05/06/2016

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting Person

HOUSTON, TX 77079

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

(Zip)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

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

Issuer

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

Reported (A) Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price

Common 05/04/2016

(State)

M

7.080 Α \$0

7.080

D

Class A

Stock

Class A

Common 05/04/2016 Stock

1.941 F (1)

\$ D 25.87 (2)

5.139 (3)

D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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### Edgar Filing: Spark Energy, Inc. - Form 4/A

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number proof Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Pr Deriv Secu (Inst
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Unit	<u>(4)</u>	05/04/2016		M	7,080	<u>(4)</u>	<u>(4)</u>	Class A Common Stock	7,080	\$

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Hodges Georganne 12140 WICKCHESTER LANE., SUITE 100 HOUSTON, TX 77079

Vice President & CFO

# **Signatures**

/s/ Georganne Hodges, by Gil Melman as Attorney-in-Fact

05/16/2016

\*\*Signature of Reporting Person

Date

# **Explanation of Responses:**

- \* 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).
- (1) Payment for tax liability through the withholding of shares of Class A Common Stock vesting on May 4, 2016 in an amount equal to the requisite withholding obligation.
- (2) Vesting price is based on the closing price of common stock on May 4, 2016, pursuant to the Spark Energy, Inc. Long Term Incentive Plan.
- (3) The total number of shares beneficially owned was unintentionally misstated due to a clerical error.
- (4) The shares of Class A Common Stock reported represent shares issued as a result of vesting of 7,080 Restricted Stock Units on May 4, 2016.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

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