SEC Form 4

# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB Number 3235-0287 Estimated average burder hours per response:

OMB APPROVAL

0.5

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> Knott Kenneth J.				2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>SM Energy Co</u> [ SM ]							ionship of Reporting P all applicable) Director	erson(s) to Issuer 10% O	/ner	
(Last) 1775 SHERMAN	(First)	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 07/01/2021						X	Officer (give title below) SVP - Bus	Other ( below) Dev & Land	, i i i i i i i i i i i i i i i i i i i	
SUITE 1200			4. If Ame	4. If Amendment, Date of Original Filed (Month/Day/Year)					6.	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person				
(Street)										Х	Form filed by One F		ng Person	
DENVER	CO	80203												
(City)	(State)	(Zip)												
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned														
		2. Transaction Date (Month/Day/Year)	ZA. Deemed Execution Date, if any (Month/Day/Year) 3. Transat Code (I 8) Code			4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 a Amount (A) or P				5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		

					(D)				
Common Stock, \$.01 Par Value	06/30/2021	<b>J</b> <sup>(1)</sup>	v	2,500	Α	\$5.2	63,430	D	
Common Stock, \$.01 Par Value	07/01/2021	М		1,460	Α	(2)	64,890	D	
Common Stock, \$.01 Par Value	07/01/2021	F		356	D	\$24.63	64,534	D	
Common Stock, \$.01 Par Value	07/01/2021	М		4,007	Α	(3)	68,541	D	
Common Stock, \$.01 Par Value	07/01/2021	F		976	D	\$24.63	67,565	D	

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

(e.g., puts, calls, warrants, options, convertible securities) 5. Number of 1. Title of 3. Transaction 3A. Deemed 6. Date Exercisable and 7. Title and Amount of 8. Price of 9. Number of 11. Nature 2. Conversion 10. of Indirect Derivative Date Execution Date Transaction Derivative Expiration Date Securities Underlying Derivative derivative Ownership or Exercise Securities (Month/Day/Year) Derivative Security (Instr. Beneficial Security (Instr. (Month/Dav/Year if any Code (Instr. Security Securities Form: Direct (D) 3) Price of (Month/Day/Year 8) Acquired (A) 3 and 4) (Instr. 5) Beneficially Ownership or Disposed or Indirect (Instr. 4) Derivative Owned of (D) (Instr. 3, 4 and 5) Security Following (I) (Instr. 4) Reported Transaction(s) Amount (Instr. 4) or Date Expiration Number v (D) Title of Shares Code (A) Exercisable Date Common Restricted Stock (2) 07/01/2021 Μ 1,460 (2) (2) Stock, \$.01 1,460 (2) 0 D Units Par Value Common Restricted Stock 07/01/2021 4,007 4,007 4,008 D (3) Μ (3) Stock, \$.01 (3) (3) Units Par Value

#### Explanation of Responses:

1. The Reporting Person purchased 2,500 shares of the Issuer's common stock on June 30, 2021, through the Issuer's Employee Stock Purchase Plan.

2. Each restricted stock unit represents a contingent right to receive one share of stock. The restricted stock unit grant vests in three equal annual installments beginning on July 1, 2019. The vested shares will be issued to the Reporting Person on the vesting dates, at which time all restrictions on the vested shares will lapse

3. Each restricted stock unit represents a contingent right to receive one share of stock. The restricted stock unit grant vests in three equal annual installments beginning on July 1, 2020. The vested shares will be issued to the Reporting Person on the vesting dates, at which time all restrictions on the vested shares will lapse.

#### Remarks:

Andrew	T. Fiske	(Attorney-in-
Fact)		

07/06/2021

\*\* 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 Number.