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). Ш

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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.				ıg Sym	bol		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
(Middle)			ction (Mon	th/Day	/Year)		x	Officer (give title below)	Other ( below)	specify			
1775 SHERMAN STREET SUITE 1200					onth/Day/Year)		6. Individual or Joint/Group Filing (Check Applicable Line)						
80203								-		ng Person			
) (Zip)													
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned													
Date			Code (	Transaction Disposed Of (D) (Instr. 3, 4 and Code (Instr.			Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership				
			Code	v	Amount	(A) or (D)	Price	(Instr. 3 and 4)		(Instr. 4)			
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned         (e.g., puts, calls, warrants, options, convertible securities)													
	(Middle) ET 80203 ) (Zip) Table I - Nor Table II - I	(Middle) ET (Middle) ET 80203 ) (Zip) Table I - Non-Derivat 2. Transacti Date (Month/Day,	(Middle) ET (Middle) ET (Middle) ET 80203 ) (Zip) Table I - Non-Derivative Securities Acquer (Month/Day/Year) Table II - Derivative Securities Acquer (Month/Day/Year)	(Middle)       SM Energy Co [ SM ]         (Middle)       3. Date of Earliest Transaction (Mon 08/02/2021         ET       4. If Amendment, Date of Original File         80203       . If Amendment, Date of Original File         (Middle)       2. Transaction Date (Month/Day/Year)         2. Transaction Date (Month/Day/Year)       3. Transaction Date (Month/Day/Year)         Table I - Derivative Securities Acquired, Date I - Derivative Securities Acquired, Date       3. Transaction Date (Month/Day/Year)	(Middle) (Middle) ET (Middle) ET (Middle) ET (Middle) ET (Middle) ET (Middle) ET (Middle) (Middle) ET (Middle) ET (Middle) (Middle) ET (Middle) (Zip) (Zip) (Zip) (Zip) (Middle) (Middle) (Zip) (Zip) (Zip) (Middle) (	SM Energy Co [ SM ]         (Middle)         3. Date of Earliest Transaction (Month/Day/Year)         08/02/2021         4. If Amendment, Date of Original Filed (Month/Day/Year)         80203         (Zip)         Zable I - Non-Derivative Securities Acquired, Disposed of, or Date, (Month/Day/Year)         2. Transaction Date, (Month/Day/Year)       3. Transaction Code (Instr. 8)         Other (Month/Day/Year)       Code V Amount         Table II - Derivative Securities Acquired, Disposed of, or E	(Middle)       SM Energy Co [ SM ]         3. Date of Earliest Transaction (Month/Day/Year)         08/02/2021         4. If Amendment, Date of Original Filed (Month/Day/Year)         80203         (Zip)         Table I - Non-Derivative Securities Acquired, Disposed of, or Benefic         2. Transaction       ZA. Deemed         Bate       Transaction Date, (Month/Day/Year)         (Month/Day/Year)       ZA. Deemed         Transaction       Code (Instr. 8)         Code       V         Amount       (A) or (D)         Table II - Derivative Securities Acquired, Disposed of, or Beneficia	(Middle)       SM Energy Co [ SM ]       (Check X         (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       (Check X         3. Date of Earliest Transaction (Month/Day/Year)       4. If Amendment, Date of Original Filed (Month/Day/Year)       6. Indiv         80203       (Zip)       2. Transaction       3. Date of Original Filed (Month/Day/Year)       6. Indiv         Y       Y       Y       Y       Y       Y         Y       Y       Y       Y       Y       Y         Y       Y       Y       Y       Y       Y       Y         Y       Y       Y       Y       Y       Y       Y       Y       Y         Y	(Middle)       SM Energy Co [SM]       (Check all applicable)         (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       (Check all applicable)         3. Date of Earliest Transaction (Month/Day/Year)       SVP - Bus         (Middle)       4. If Amendment, Date of Original Filed (Month/Day/Year)       6. Individual or Joint/Group Filed by One Filed by More         80203       (Zip)       24. Deemed Executities Acquired, Disposed of, or Beneficially Owned         2. Transaction Date (Month/Day/Year)       3. Transaction Date (Month/Day/Year)       4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)       5. Amount of Securities Beneficially Owned Filescation(s) (Instr. 3 and 4)         Table I - Derivative Securities Acquired, Disposed of, or Beneficially Owned Filescation(s) (Instr. 3 and 4)       5. Amount of Securities Beneficially Owned Filescation(s) (Instr. 3 and 4)	(Middle)       SM Energy Co [SM]       (Check all applicable)       Director       10% O         3. Date of Earliest Transaction (Month/Day/Year)       Officer (give title       Other ( below)         80203       4. If Amendment, Date of Original Filed (Month/Day/Year)       6. Individual or Joint/Group Filing (Check Applic below)         80203       (Zip)       5. Transaction Date (Month/Day/Year)       2. Transaction Date (Month/Day/Year)       3. 2. Transaction Date (Month/Day/Year)       3. 2. Transaction Date (Month/Day/Year)       3. 2. Transaction Date (Month/Day/Year)       3. 2. Transaction (Month/Day/Year)       4. Securities Acquired (A) or (B)       5. Amount of Securities (Month/Day/Year)       6. Ownership Form: Direct (D) or indirect (I) (Instr. 3, 4 and 5)         Table I - Derivative Securities Acquired, Disposed of, or Beneficially Owned Following Reported Transaction(S) (Instr. 4)       6. Ownership Form: Direct (D) or indirect (I) (Instr. 4)			

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. Transac Code (In 8)		5. Number of 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 Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	Form: Direct (D)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Restricted Stock Units	(1)	08/02/2021		A		11,270		(1)	(1)	Common Stock, \$.01 Par Value	11,270	\$ <u>0</u>	11,270	D	

## Explanation of Responses:

1. Each restricted stock unit represents a contingent right to receive one share of stock. The restricted stock unit grant vests in three equal installments on July 1, 2022, July 1, 2023, and July 1, 2024. 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-08/03/2021 Fact)

Date

\*\* Signature of Reporting Person

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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