Instruction 1(b).

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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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 Addre | 1 0 | erson* | | er Name and Ticke | • | • | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
|-----------------------|---------------------|--------------|------------------------|-------------------------------|-------------------|---|---|--------------------------------------|------------------------------|--------------------------|--|--|
| <u>Cox Heather</u> | - | | | <u>, EntErto 1</u> , <u>1</u> | <u></u> [| 0] | X | Director | 10% 0 | Dwner | | |
| (Last) 804 CARNEGI | (First) E CENTER | (Middle) | 3. Date 11/01 | e of Earliest Transa /2021 | action (Month/I | Day/Year) | | Officer (give title below) | Other below | (specify) | | |
| , | | | 4. If Ar | mendment, Date of | Original Filed | (Month/Day/Year) | | /idual or Joint/Grou | p Filing (Check | Applicable | | |
| (Street) PRINCETON | NJ | 08540 | | | | | Line) | Form filed by On Form filed by Mo | 1 0 | | | |
| (City) | (State) | (Zip) | | | | | | Person | | | | |
| | Т | able I - Nor | n-Derivative S | ecurities Acq | uired, Disp | osed of, or Bene | ficially | Owned | | | | |
| 1. Title of Security | / (Instr. 3) | | 2. Transaction Date | 2A. Deemed Execution Date, | 3. Transaction | 4. Securities Acquired (Disposed Of (D) (Instr. 3 | | 5. Amount of Securities | 6. Ownership Form: Direct | 7. Nature of Indirect | | |

| | (Month/Day/Year) | if any (Month/Day/Year) | Code (Instr. 8) | | 5) | (_)(| , | | (D) or Indirect (I) (Instr. 4) | Beneficial Ownership (Instr. 4) |
|---|------------------|----------------------------|--------------------|---|--------|---------------|---------------------------|------------------------------------|-----------------------------------|---------------------------------------|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (1130.4) |
| Common Stock, par value \$.01 per share | 11/01/2021 | | A | | 122 | A | \$0 ⁽¹⁾ | 24,485 ⁽²⁾ | D | |

 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. Transa Code (8) | | of Deriv Secu Acqu (A) o Dispo of (D | r osed) 7. 3, 4 | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | Amount of | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|--|---|------------------------------|---|--|---------------------------|--|--------------------|-----------|--|---|--|--|--|
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |

Explanation of Responses:

1. Represents dividend equivalent rights accrued on the Reporting Person's deferred stock units, which become exercisable proportionately with the deferred stock units to which they relate and may only be settled in NRG common stock. Each dividend equivalent right is the economic equivalent of one share of NRG common stock.

2. Includes 677 dividend equivalent rights.

| Christine Zoino, by Power of | 00/0001 |
|------------------------------|---------|
| Attorney 11/ | 03/2021 |

<u>Attorney</u>

** 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.