SEC Form 4

FORM 4

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

OMB APPROVAL

ſ

OMB Number:	3235-0287								
Estimated average burden									
hours per response:	0.5								

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

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	Jame and Address of Reporting Person [*] Ioser <u>Christopher</u>				ier Name and Ticke <u>GENERGY, 1</u>					tionship of Reporting Person(s) to Issuer (all applicable) Director 10% Owner				
(Last) 804 CARNEGI	(First) E CENTER	(Middle)			e of Earliest Transa //2020	iction (N	1onth/	Day/Year)	- x	Officer (give title Other below) below) Exec VP, Operations		(specify)		
(Street) PRINCETON NJ 08540 (City) (State) (Zip)					4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person			
	Т	able I - Nor	n-Derivat	tive S	ecurities Acqu	uired,	Disp	oosed of,	or Ber	neficially	y Owned			
Date		2. Transact Date (Month/Day		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Disposed O 5)			5. Amount of 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	Transaction(s) (Instr. 3 and 4)		(Instr. 4)	
Common Stock, par value \$.01 per share 11/02/				2020		A		191	A	\$0 ⁽¹⁾	115,871 ⁽²⁾	D		

	otocii, pui	value proi per o.											5,071	2	
		Tal	ble II - Derivat (e.g., pi					ired, Disp options, (d		
1. Title of Derivative Security (Instr. 3)	2. 3. Transaction 3A. Deemed 4. 5. Nur		vative nities nired r osed) r. 3, 4	r 6. Date Exercisable and Expiration Date (Month/Day/Year)			le and unt of rities rlying ative rity (Instr. I 4)	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	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 766 dividend equivalent rights.

Christine Zoino, by Power of 11/04/2020

<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.