| SEC Form 4 |  |
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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

3235-0287

0.5

| STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP   | OMB Number:                                     | 32 |
|--|---|----|
|  | Estimated average burden<br>hours per response: |    |
| Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934<br>or Section 30(h) of the Investment Company Act of 1940 | L   |    |

| 1. Name and Address of Reporting Person <sup>*</sup><br>Gaudette Robert J        |                     |                | 2. Issuer Name and Ticker or Trading Symbol<br><u>NRG ENERGY, INC.</u> [ NRG ] | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>Director 10% Owner  |  |  |  |
|--|---------------------|----------------|--|---|--|--|--|
| (Last)<br>804 CARNEGI  | (First)<br>E CENTER | (Middle)       | 3. Date of Earliest Transaction (Month/Day/Year)<br>02/01/2021                 | X Officer (give title Other (specify below) below)<br>Sr VP, Business Solutions   |  |  |  |
| (Street)<br>PRINCETON<br>(City)  | NJ<br>(State)       | 08540<br>(Zip) | <ul> <li>4. If Amendment, Date of Original Filed (Month/Day/Year)</li> </ul>   | <ul> <li>6. Individual or Joint/Group Filing (Check Applicab<br/>Line)</li> <li>X Form filed by One Reporting Person</li> <li>Form filed by More than One Reporting<br/>Person</li> </ul> |  |  |  |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |                     |                |  |   |  |  |  |

| 1. Title of Security (Instr. 3)         | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transa<br>Code (<br>8) | ction |        |               | Securities<br>Beneficially | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |          |
|---|--|---|------------------------------|-------|--------|---------------|----------------------------|---|---|----------|
|   |  |   | Code                         | v     | Amount | (A) or<br>(D) | Price                      | Transaction(s)<br>(Instr. 3 and 4)                                |   | (1150.4) |
| Common Stock, par value \$.01 per share | 02/01/2021                                 |   | A                            |       | 87     | Α             | <b>\$0</b> <sup>(1)</sup>  | 69,095 <sup>(2)</sup>   | D   |          |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 10. 11. Nature Conversion Execution Date. Transaction Date Ownership Derivative Expiration Date Amount of Derivative derivative of Indirect or Exercise Price of Security (Instr. 3) (Month/Day/Year) if any (Month/Day/Year) Code (Instr. Derivative (Month/Day/Year) Securities Security (Instr. 5) Securities Form: Beneficial 8) Securities Acquired Direct (D) Ownership (Instr. 4) Underlying Beneficially Derivative Derivative Owned or Indirect Security (A) or Disposed Security (Instr. 3 and 4) Following (I) (Instr. 4) Reported of (D) (Instr. 3, 4 Transaction(s) (Instr. 4) and 5) Amount or Number Expiration Date v Title Code (A) (D) Exercisable Date 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 289 dividend equivalent rights.

## Christine Zoino, by Power of 02/03/2021

<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.