SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

<u>Curci Brian</u>			. Date of Event tequiring Stater Month/Day/Yea 3/16/2018	nent	3. Issuer Name and Ticker or Trading Symbol <u>NRG ENERGY, INC.</u> [ NRG ]					
(Last) NRG ENERG 804 CARNEC (Street) PRINCETON (City)	GIE CENTER	(Middle) 08540 (Zip)				tionship of Reporting Perso : all applicable) Director Officer (give title below) General Counsel & (	10% Owne Other (spe below)	er cify 6.	onth/Day/Year) Individual or Joint plicable Line) X Form filed b	ate of Original Filed /Group Filing (Check y One Reporting Person y More than One erson
Table I - Non-Derivative Securities Beneficially Owned										
1. Title of Security (Instr. 4)					2. Amount of Securities Beneficially Owned (Instr. 4)				. Nature of Indirect Beneficial Ownership nstr. 5)	
Common Stock, par value \$.01 per share						40,066 <sup>(1)</sup>	D			
Table II - Derivative Securities Beneficially Owned   (e.g., puts, calls, warrants, options, convertible securities)										
1. Title of Derivative Security (Instr. 4)		2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securiti Underlying Derivative Security			4. Conversio or Exercis	e Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
			Date Exercisable	Expiration Date	n Title		Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)	
Relative Performance Stock Units		01/02/2021	01/02/2021		mmon Stock, par value \$.01 per share	7,610	(2)(3)(4)	D		

## Explanation of Responses:

1. Includes 16,967 Restricted Stock Units ("RSUs") issued to Mr. Curci by NRG Energy, Inc. under NRG's Long Term Incentive Plan ("LTIP") and 191 Dividend Equivalent Rights ("DERs"). Each RSU is equivalent in value to one share of NRG's Common Stock, par value \$.01. Upon vesting of the RSUs, Mr. Curci will receive from NRG the following: (i) 4,236 shares issued on January 4, 2019; (ii) 4,046 shares issued on January 3, 2020; (iv) 1,546 shares issued on January 2, 2019; (v) 1,546 shares issued on January 2, 2020; and(vi) 1,547 shares issued on January 2, 2021. Each DER will accrue on Mr. Curci's RSUs, Market Stock Units ("MSUs") or Relative Performance Stock Units ("RPSUs") and will become exercisable proportionately with the RSUs, MSUs, or RPSUs to which they relate and can only be settled in NRG common stock. Each DER is the economic equivalent to one share of NRG common stock.

2. Mr. Curci was issued 7,610 Relative Performance Stock Units ("RPSUs") by NRG under the LTIP on January 2, 2018. The RPSUs will convert to shares of NRG Common Stock on January 2, 2021 only in the event the Company has achieved a certain level of TSRs relative to the Peer Group (defined below) over a three-year performance period. The number of shares of Common Stock that the Reporting Person may receive is interpolated for TSR falling between Threshold, Target, and Maximum levels as described below.

3. Mr. Curci will receive (i) a maximum of 15,220 shares of Common Stock if the Company's TSR is ranked at or above the 75th percentile relative to a peer group of companies approved by the Company's S. Mi. Curch will receive (i) a maximum of 15,220 shales of Common stock in the Company's TSR is fanked at of above the 7sh percentile relative to a peer group of companies approved by the Company's TSR is fanked at the Company's TSR is ranked at the Sth percentile relative to a peer group of companies approved by the Company's TSR is ranked at the Sth percentile relative to the Peer Group for the performance period (the "Target"); provided, however, if TSR is less than negative fifteen percent (-15%), the Company's TSR must be ranked at the 65th percentile relative to the Peer Group for the performance period (the "Target award; or (iii) 1,903 shares of Common Stock if the Company's TSR is ranked at the 25th percentile relative to the Peer Group for the performance period (the "Threshold"). Mr. Curci will not receive any shares of Common Stock if the Company's TSR is below the 25th percentile relative to the Peer Group for the performance period.

4. The Maximum award that the Reporting Person will receive shall not exceed six (6) times the fair market value of the Target award, determined as of the date of grant,

## /s/ Brian Curci

\*\* Signature of Reporting Person

03/26/2018 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 5 (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.