SEC Form 4

FORM 4

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

OMB APPROVAL

3235-0287

0.5

OMB Number:

Check this box if no longer subject to Section 16. Form 4 or Form 5	STATEMENT OF CHANGES IN BENEFICIAL	OWNERSHIP
obligations may continue. See		

to Section 16. F obligations may	Form 4 or Form 5 y continue. See								11	ated average bur per response:	den 0.
Instruction 1(b)				nt to Section 16(a) ction 30(h) of the In		ties Exchange Act of 1934 mpany Act of 1940	ł				
1. Name and Addr Callen David		g Person [*]		uer Name and Tick G ENERGY, [·	(Chec	ationship of I k all applicat Director Officer (g	ole)	ng Person(s) to 10% (Other	
(Last) 804 CARNEGI	(First) IE CENTER	(Middle)		te of Earliest Transa 3/2020	action (Montl	ı/Day/Year)	X	below)		below Accounting C)
(Street)			4. If A	mendment, Date of	f Original File	d (Month/Day/Year)	6. Indi Line)	vidual or Joi	nt/Grou	p Filing (Check	Applicable
PRINCETON	NJ	08540					X	Form filed	l by On	e Reporting Per	son
(City)	(State)	(Zip)						Form filed Person	l by Mo	re than One Re	oorting
		Table I - Non-De	erivative S	Securities Acq	uired, Dis	posed of, or Bene	ficially	/ Owned			
	<i>(</i>) ()			an Desmand			• • • •	E	- 4	A Australia	-

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)						Securities Beneficially	Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(instit 4)
Common Stock, par value \$.01 per share	08/03/2020		A		82	A	\$0 ⁽¹⁾	44 , 604 ⁽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		of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4		6. Date Exercisable and Expiration Date (Month/Day/Year)		Expiration Date		Expiration Date		Expiration Date (Month/Day/Year) ed		Expiration Date		and 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 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 260 dividend equivalent rights which reflects a de minimis adjustment to the number of dividend equivalent rights by 1 as a result of rounding fractional shares.

<u>Christine Zoino, by Power of</u>	00/05/2020
Attorney	<u>08/05/2020</u>

=У_

** 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.