SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

1. Name and Address of Reporting Person* COBEN LAWRENCE S				uer Name and Tick G ENERGY, 1	•		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
COBEN LA	WRENCE S	<u>)</u>		<u>o Littlitto i, i</u>		c]	X	Director	10% (Owner		
(Last) 804 CARNEGI	(First) E CENTER	(Middle)		e of Earliest Transa 1/2021	action (Month/	Day/Year)		Officer (give title below)	Other below	(specify /)		
,			4. If A	mendment, Date of	Original Filed	(Month/Day/Year)		vidual or Joint/Grou	p Filing (Check	Applicable		
(Street) PRINCETON	NJ	08540					Line) X	Form filed by On Form filed by Mo				
(City)	(State)	(Zip)						Person				
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
1. Title of Security (Instr. 3) 2. Transac				2A. Deemed	3.	4. Securities Acquired (A	urities Acquired (A) or 5. Amount of 6. Ownersl			7. Nature		

	Date (Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Code (Disposed Of 5)	(D) (Instr	. 3, 4 and	Beneficially	(D) or Indirect I (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock, par value \$.01 per share	06/01/2021		A		8,274 ⁽¹⁾	Α	\$0 ⁽²⁾	124,928 ⁽³⁾	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 Expiration		Expiration Da	6. Date Exercisable and Expiration Date (Month/Day/Year)		Amount of		mount of ecurities Security (Instr. 5) erivative ecurity (Instr.		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 8,274 Deferred Stock Units issued to the Reporting Person under NRG Energy, Inc.'s Amended and Restated Long-Term Incentive Plan.

2. Each Deferred Stock Unit is equivalent in value to one share of NRG Energy, Inc.'s Common Stock, par value \$.01 per share. The Reporting Person will receive from NRG Energy, Inc. one such share of Common Stock for each Deferred Stock Unit he owns upon termination of his service on NRG Energy, Inc.'s Board of Directors.

3. Includes 5,381 dividend equivalent rights.

<u>Christine Zoino, by Power of</u> <u>Attorney</u> <u>C</u>

06/03/2021

** 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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).