SEC Form 4

FORM 4

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

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to Section 16. Form 4 or Form 5 obligations may continue. See		t STATEN	IENT OF CHANGES IN BENEFICIAL OW	NERSHIP	OMB Number: 3235-028 Estimated average burden hours per response: 0			
Instruction	1(b).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 19 or Section 30(h) of the Investment Company Act of 1940					
1. Name and Address of Reporting Person [*] Chung Bruce			2. Issuer Name and Ticker or Trading Symbol <u>NRG ENERGY, INC.</u> [NRG]	5. Relationship of (Check all applica Director	able)	on(s) to Issuer 10% Owner Other (specify		
(Last) 804 CARNE	(First) GIE CENTER	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 09/03/2023	X Officer (below)	Officer (give title below) EVP & CFO		ty	
,			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Jo Line)	int/Group Filing (Check Appli		able	
(Street)		09540		X Form file	Form filed by One Reporting Person			
PRINCETO	N NJ	08540		Form file	n filed by More than One Reporting			

PRINCETON NJ 08540										Form filed by One Reporting Person Form filed by More than One Reporting Person				
(City)	(State)	(Zip)		Rule	e 10b5-1(c)	Trans	act	ion Indic	ation					
					Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.									
		Table I - No	n-Deriva	tive S	ecurities Acqu	uired,	Disp	oosed of,	or Ber	neficially	y Owned			
1. Title of Security (Instr. 3)		2. Transaction Date (Month/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)					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,	ommon Stock, par value \$.01 per shar		09/03/2	2023		F		217	D	\$0 ⁽¹⁾	52,386 ⁽²⁾	D		
					curities Acqui IIs. warrants.						Owned			

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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. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		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. On September 3, 2021, the Reporting Person was issued a supplemental grant of 1,762 Restricted Stock Units ("RSUs") by NRG Energy, Inc. under NRG Energy, Inc.'s Amended and Restated Long Term Incentive Plan. Each RSU is equivalent in value to one share of NRG's common stock, par value \$.01. On September 3, 2023, 587 shares vested. The Reporting Person elected to satisfy their tax obligation upon the exchange of common stock for RSUs having a value on the date of the exchange equal to the withholding obligation. This form reflects the surrender of 217 shares of common stock to satisfy the grantee's tax withholding obligation.

2. In connection with the vesting of the RSUs described above, 46 DERs vested, resulting in the Reporting Person holding 1,204 dividend equivalent rights in the aggregate. Dividend equivalent rights accrue on the Reporting Person's restricted stock units or relative performance stock units, which become exercisable proportionately with the restricted stock units or relative performance stock units.

> Christine Zoino, by Power of 09/06/2023 Attorney

** 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.