Edgar Filing: Gaudette Robert J - Form 4

| Gaudette Robert J Form 4 January 11, 2019 | | | | | | | |
|---|---|--|-------------------------------|--|--|--|--|
| | CURITIES AND EXCHANG Washington, D.C. 20549 | Number: 3235-0287 | | | | | |
| Section 16. Form 4 or Form 5 Obligations Section 17(a) of the Publ | ANGES IN BENEFICIAL (SECURITIES on 16(a) of the Securities Exch c Utility Holding Company A | Estimated average burden hours per response 0.5 nange Act of 1934, | 5 | | | | |
| <i>See</i> Instruction 16(a) of the Investment Company Act of 1940 1(b). | | | | | | | |
| (Print or Type Responses) | | | | | | | |
| Gaudette Robert J Syn | ssuer Name and Ticker or Trading ool G ENERGY, INC. [NRG] | 5. Relationship of Reporting Person(s) to Issuer | | | | | |
| | te of Earliest Transaction | (Check all applicable) | k all applicable) | | | | |
| | nth/Day/Year) 0/2019 | Director 10% Owner X Officer (give title Other (specify below) below) Senior VP, Business Solutions | e title Other (specify below) | | | | |
| | Amendment, Date Original (Month/Day/Year) | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person | | | | | |
| PRINCETON, NJ 08540 | | Form filed by More than One Reporting Person | | | | | |
| (City) (State) (Zip) | Table I - Non-Derivative Securities | s Acquired, Disposed of, or Beneficially Owned | | | | | |
| 1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Dat any (Month/Day/Year) | Code (Instr. 3, 4 and 5) | (D)SecuritiesOwnershipIndirectBeneficiallyForm: DirectBeneficialOwned(D) orOwnershipFollowingIndirect (I)(Instr. 4)Reported(Instr. 4)Transaction(s)Instr. 4) | | | | | |
| Common Stock, par value \$.01 per share | Code V Amount (D) I | Price (Instr. 3 and 4) 9.42 $71,821 (1)$ D | | | | | |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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 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. Transacti Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | Secur | int of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr |
|---|---|---|---|---------------------------------------|---|---------------------|--------------------|-------|--|---|---|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | |
|---|---------------|------------|-------------------------------------|-------|--|
| | Director | 10% Owner | Officer | Other | |
| Gaudette Robert J NRG ENERGY, INC. 804 CARNEGIE CENTER PRINCETON, NJ 08540 | | | Senior VP, Business Solutions | | |
| Signatures | | | | | |
| /s/ Christine Zoino, by Power of Attorney | | 01/11/2019 | | | |
| **Signature of Reporting Person | | Date | | | |

Explanation of Responses:

* 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).

(1) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on September 7, 2018.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.