NRG ENERGY, INC.

Form 4

January 06, 2015

FORM 4

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

OMB Number: 3235-0287

burden hours per

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Expires: January 31, 2005
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0.5

OMB APPROVAL

Form 4 or Form 5 obligations may continue. See Instruction

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

response...

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Stark Ronald B Issuer Symbol NRG ENERGY, INC. [NRG] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner Other (specify _X__ Officer (give title NRG ENERGY, INC., 211 01/02/2015 below) **CARNEGIE CENTER** VP, Chief Accounting Officer (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting PRINCETON, NJ 08540 Person

	(City)	(State)	Zip) Table	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed of	f, or Beneficiall	y Owned
,	1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) (A) or		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
,	Common Stock, par value \$.01 per share	01/02/2015		Code V M	Amount 461 (1)	(D)	Price \$ 23.64	15,290	D	
,	Common Stock, par value \$.01 per share	01/02/2015		A	5,337 (2)	A	\$ 0 (3)	20,627	D	
,	Common Stock, par value \$.01 per share	01/03/2015		M	6,622	A	<u>(4)</u>	27,249	D	

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Common Stock, par value \$.01 per share	01/03/2015	F	2,065	D	(5)	25,184	D
Common Stock, par value \$.01 per share	01/03/2015	F	889	D	<u>(6)</u>	24,295	D
Common Stock, par value \$.01 per share	01/03/2015	F	620	D	<u>(7)</u>	23,675	D

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

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(9-02)

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. Transaction Code (Instr. 8)	5. Number on Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	of Derivative Expiration Date decurities (Month/Day/Year) Acquired A) or Disposed of D) Instr. 3, 4,		7. Title and Amour Underlying Securit (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amo or Num of Shar
Non-Qualified Stock Options	\$ 23.64	01/02/2015		M <u>(1)</u>	9,000	01/02/2012	01/02/2015	Common Stock, par value \$.01 per share	9,0
Market Stock Units	<u>(4)</u>	01/03/2015		M	4,300	01/02/2015	01/02/2015	Common Stock, par value \$.01 per share	8,6

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Stark Ronald B NRG ENERGY, INC. 211 CARNEGIE CENTER PRINCETON, NJ 08540

VP, Chief Accounting Officer

Signatures

/s/ Brian Curci, under Power of Attorney

01/06/2015

**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 acquisition of 461 shares of common stock reflects the net exercise of the Non-Qualified Stock Options with the remaining shares withheld by the Issuer to cover the exercise price and taxes associated with the automatic exercise.
- (2) Represents Restricted Stock Units issued to the Reporting Person under NRG Energy, Inc.'s Long-Term Incentive Plan ("LTIP").
- (3) Each RSU is equivalent in value to one share of NRG's Common Stock, par value \$.01 per share. The Reporting Person will receive from NRG one such share of Common Stock for each RSU on January 2, 2018.
 - The Reporting Person was issued 4,300 Market Stock Units by NRG under the LTIP on January 2, 2012 that vested on January 2, 2015. On the vesting date the Reporting Person was entitled to receive a maximum of 8,600 shares of Common Stock if the company achieved 100% increase in total shareholder return since the grant date (the "Maximum"), 4,300 shares of Common Stock if there is no change in
- total shareholder return since the grant date (the "Target"), or 2,150 shares of Common Stock if there is a 50% decrease in total shareholder return since the grant date (the "Threshold"). The Reporting Person would not have received any shares of Common Stock if total shareholder return had decreased by more than 50% since the grant date. The number of shares of Common Stock that the Reporting Person could have received is interpolated for total shareholder return falling between Threshold, Target and Maximum levels. On January 3, 2015 he vested in 6,622 shares.
- The Reporting Person elected to satisfy his tax withholding obligation upon the exchange of common stock for MSUs having a value on the date of the exchange equal to the withholding obligation. This form is being filed to reflect the surrender of 2,065 shares of common stock to satisfy the grantee's tax withholding obligation.
 - On January 3, 2012, the Reporting Person was issued 88,900 Restricted Stock Units ("RSUs") by NRG under NRG's Long-Term Incentive Plan ("LTIP"). Each RSU is equivalent in value to one share of NRG's Common Stock, par value \$0.01 per share. On January 3,
- (6) 2015 shares vested. The Reporting Person elected to satisfy his tax withholding 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 is being filed to reflect the surrender of 889 shares of common stock to satisfy the grantee's tax withholding obligation.
- The Reporting Person was issued 5,047 Restricted Stock Units on January 2, 2014 that vest in 1/3 increments on the anniversary of the (7) grant through January 2, 2017. The Reporting Person vested in 1,682 shares on January 2, 2015 and this Form 4 is being filed to report the withholding of 620 shares to satisfy the grantee's tax withholding obligation.

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.

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