Edgar Filing: Caldwell Kirbyjon H - Form 4

Caldwell Kir Form 4	byjon H											
November 03	3, 2017											
FORM 4 UNITED STATES SECURIT										OMB APPROVAL		
	UNITED	UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549							OMB Number:	3235-0287		
Check thi if no long subject to Section 1 Form 4 or	6.	x STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES										
Form 5 obligatior may conti <i>See</i> Instru 1(b).	inue. Section 17(a	20(h) at the Investment (Commenty A at at 10/0)										
(Print or Type R	Responses)											
Caldwell Kirbyjon H Symbol			Symbol	r Name and Ticker or Trading NERGY, INC. [NRG]				5. Relationship of Reporting Person(s) to Issuer				
(Last)	(First) (M	liddle)	3. Date of Earliest Transaction (Check				ck all applicable	c all applicable)				
NRG ENER CARNEGIE	GY, INC., 804 CENTER		(Month/Da 11/01/20	ay/Year)				X Director Officer (give below)		6 Owner er (specify		
	(Street)		Filed(Month/Day/Year)				 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person 					
PRINCETO	N, NJ 08540							Form filed by M Person				
(City)	(State) (Zip)	Table	e I - Non-Do	erivative S	Securi	ties Ac	quired, Disposed o	f, or Beneficia	lly Owned		
1.Title of Security (Instr. 3)	(Month/Day/Year) Execution Date, if Transa any Code		Transactio	4. Securities sactionAcquired (A) or Disposed of (D) . 8) (Instr. 3, 4 and 5) (A) or			Securities Beneficially Owned Following Reported Transaction(s)	5. Ownership Form: Direct D) or indirect (I) Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)			
Common				Code V	Amount	(D)	Price	(Instr. 3 and 4)				
Common Stock, par value, \$.01 per share	11/01/2017			А	43	A	<u>(1)</u>	52,748 <u>(2)</u>	D			

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

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 control number.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

Reporting Owners

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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)	4. Transactic Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Amou Unde Secur	le and int of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owna 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				
Caldwell Kirbyjon H NRG ENERGY, INC. 804 CARNEGIE CENTER PRINCETON, NJ 08540	Х							
Signatures								
/s/ Brian Curci, by Power of Attorney		11/03/201	7					
**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).

- Represents dividend equivalent rights accrued on the reporting person's deferred stock units, which become exercisable proportionately
 (1) 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 1638 dividend equivalent rights.

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.