

DYNEGY INC.

Form 3

October 08, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF
SECURITIES**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

(Print or Type Responses)

1. Name and Address of Reporting
Person *

Â Cox Julius

(Last)

(First)

(Middle)

601 TRAVIS STREET,Â SUITE
1400

(Street)

HOUSTON,Â TXÂ 77002

(City)

(State)

(Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

10/02/2014

3. Issuer Name **and** Ticker or Trading Symbol
DYNEGY INC. [DYN]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☒ Other
(give title below) (specify below)Executive Vice President / Chief
Administrative Officer6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

11,894 ⁽¹⁾

D

Â

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

SEC 1473 (7-02)

**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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)
Title4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	Â (2)	10/29/2022	Common Stock	13,754	\$ 18.7	D	Â
Employee Stock Option (Right to Buy)	Â (3)	03/18/2023	Common Stock	4,730	\$ 23.1	D	Â
Employee Stock Option (Right to Buy)	Â (4)	03/03/2024	Common Stock	8,672	\$ 23.03	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cox Julius 601 TRAVIS STREET SUITE 1400 HOUSTON, TX 77002	Â	Â	Â Executive Vice President	Chief Administrative Officer

Signatures

Heidi Lewis 10/08/2014

**Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

- Includes 5,303 shares of restricted stock which vest in two equal annual installments beginning October 29, 2014, 3,030 shares of
- (1) restricted stock which vest in two equal annual installments beginning March 18, 2015 and 3,561 shares of restricted stock which vest in three equal annual installments beginning on March 3, 2015.
 - (2) The options become exercisable in two equal installments beginning on October 29, 2014
 - (3) The options become exercisable in two equal annual installments beginning on March 18, 2015
 - (4) The options become exercisable in three equal annual installments beginning March 3, 2015

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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