SEC Form 4

FORM 4

obligations may continue. See

Instruction 1(b).

Check this box if no longer subject to Section 16. Form 4 or Form 5

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL
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| Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 |
|--|
| or Section 30(h) of the Investment Company Act of 1940 |

| 1. Name and Address of Reporting Person [*] Johnson Charles Douglas | | | | uer Name and Tick RENERGY | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner | | | | |
|--|----------------------|----------|------------------------|---------------------------------------|-------------------|--|--|--|------------------------------|--------------------------|--|
| (Last) C/O CVR ENER | (First) .GY, INC. | (Middle) | | te of Earliest Trans 5/2024 | action (Month | /Day/Year) | X Officer (give title Other (spec below) below) EVP & Chief Commercial Officer | | |) | |
| 2277 PLAZA DRIVE, SUITE 500 | | | | Amendment, Date o | f Original File | d (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable Line) | | | | |
| (Street) SUGAR LAND TX 77479 | | | | | | | X | Form filed by One Form filed by Mor Person | | | |
| (City) (State) (Zip) | | | | Rule 10b5-1(c) Transaction Indication | | | | | | | |
| 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 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | |
| Date | | | 2. Transaction Date | 2A. Deemed Execution Date, | 3. Transaction | 4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4 | | 5. Amount of Securities | 6. Ownership Form: Direct | 7. Nature of Indirect | |

| | | Execution Date, if any (Month/Day/Year) | Code (| | Disposed Of (D) (Instr. 3, 4 and 5) | | | | (D) or Indirect (I) (Instr. 4) | of Indirect Beneficial Ownership (Instr. 4) |
|-----------------------------|------------|---|--------|---|-------------------------------------|---------------|---------------------------|------------------------------------|-----------------------------------|--|
| | | | Code | v | Amount | (A) or (D) | | Transaction(s) (Instr. 3 and 4) | | (1150.4) |
| Common Stock ⁽¹⁾ | 05/15/2024 | | М | | 3,699 | Α | \$0 ⁽²⁾ | 3,699 | D | |
| Common Stock ⁽¹⁾ | 05/15/2024 | | D | | 3,699 | D | \$29.26 ⁽³⁾ | 0 | D | |

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) 3. Transaction Date 3A. Deemed Execution Date 6. Date Exercisable and 7. Title and Amount of Securities 8. Price of Derivative 5. Number 11. Nature 9. Number of 10. 4. Transaction Code (Instr. 2. Conversion of Expiration Date (Month/Day/Year) derivative Ownership of Indirect Beneficial or Exercise Price of Security (Instr. 5) (Month/Day/Year) if any Derivative Securities Form: Direct (D) (Month/Day/Year) Underlying 8) Beneficially Ownership Securities Derivative Security (Instr. 3 and 4) Derivative Acquired Owned or Indirect (Instr. 4) (A) or Disposed Security Following (I) (Instr. 4) Reported of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Date Expiration (D) Exercis Date Shares Code v (A) Title Incentive \$0⁽²⁾ (2) (1) (4) Commo 05/15/2024 3,699 0 D Μ 3,699 Units⁽¹⁾ Stock

Explanation of Responses:

1. The Incentive Units were awarded to the reporting person by CVR Energy, Inc. as compensation for services as an officer on May 19, 2021. These Incentive Units vest ratably in annual installments in May of each of the three years following the grant date, subject to the terms and conditions of the award agreement.

2. Each Incentive Unit reported herein represents the right to receive upon vesting, a cash payment equal to the average closing price of a share of CVR Energy, Inc. common stock for the 10 trading days preceding the vest date.

3. This price represents the average closing price of a share of CVR Energy, Inc. common stock for the 10 trading days immediately preceding the vest date.

4. The Incentive Units expire immediately upon vest.

Remarks:

/s/ Charles Douglas Johnson

** Signature of Reporting Person

05/17/2024 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.