

Duke Energy CORP
Form 4
November 10, 2011

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

STATEMENT OF CHANGES IN 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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
ROGERS JAMES E

(Last) (First) (Middle)

550 S. TRYON STREET

(Street)

CHARLOTTE, NC 28202

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
Duke Energy CORP [DUK]

3. Date of Earliest Transaction
(Month/Day/Year)
11/08/2011

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)

Chairman, President & CEO

6. 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 Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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	11/08/2011		M	V Amount (A) or (D) Price	\$ 15.26 2,036,095	D	
Common Stock	11/08/2011		M	210,046 A \$ 15.5	2,246,141	D	
Common Stock	11/08/2011		M	1,147,646 A \$ 16.6	3,393,787	D	
Common Stock	11/08/2011		S	1,568,148 D \$ 20.81 (1)	1,825,639	D	
Common Stock	11/09/2011		M	57,397 A \$ 16.6	1,883,036	D	

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Common Stock	11/09/2011	S	57,397	D	\$ 20.7 (2)	1,825,639	D	
Common Stock						19,592	I	By 401(k)
Common Stock						507,658	I	By Spouse

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 of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount Number Shares
Stock Option (Right to Buy)	\$ 15.26	11/08/2011		M	210,456	01/01/2008 01/01/2015	Common Stock 210,
Stock Option (Right to Buy)	\$ 15.5	11/08/2011		M	210,046	01/01/2009 01/01/2016	Common Stock 210,
Stock Option (Right to Buy)	\$ 16.6	11/08/2011		M	1,147,646	04/03/2009 04/04/2016	Common Stock 1,147,
Stock Option (Right to Buy)	\$ 16.6	11/09/2011		M	57,397	04/03/2009 04/04/2016	Common Stock 57,3

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

ROGERS JAMES E
550 S. TRYON STREET
CHARLOTTE, NC 28202

X

Chairman, President & CEO

Signatures

/s/ David S. Maltz, attorney-in-fact for James E.
Rogers

11/10/2011

__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 price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$20.80 to \$20.88, inclusive. The reporting person undertakes to provide to Duke Energy Corporation, any security holder of Duke Energy Corporation, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnotes (1) and (2) to this Form 4.

(2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$20.700 to \$20.709, inclusive.

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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