#### Edgar Filing: Duke Energy CORP - Form 3

Duke Energy CORP Form 3 April 13, 2006

## FORM 3

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

OMB APPROVAL

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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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Duke Energy CORP [DUK] À TURNER JAMES L (Month/Day/Year) 04/03/2006 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 526 S. CHURCH STREET (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person (give title below) (specify below) CHARLOTTE, NCÂ 28202 Form filed by More than One Group Executive & CCO-FE&G Reporting Person (City) (State) (Zip) **Table I - Non-Derivative Securities Beneficially Owned** 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock 33,728.9956 (1) Common Stock 4,323.6155 (1) I By 401(k) Common Stock 50,388 (1) Ι By Spouse Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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currently valid OMB control number.

1. Title of Derivative Security	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date	Securities Underlying	Conversion	Ownership	Beneficial
	(Month/Day/Year)	Derivative Security	or Exercise	Form of	Ownership

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			(Instr. 4)		Price of	Derivative	(Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Phantom Stock	(2)	(2)	Common Stock	1,065.953 (1)	\$ (3)	D	Â
Stock Option (Right to buy)	04/16/2000	04/16/2007	Common Stock	3,588 <u>(1)</u>	\$ 21.715	D	Â
Stock Option (Right to buy)	01/01/2001	01/01/2008	Common Stock	3,588 <u>(1)</u>	\$ 24.74	D	Â
Stock Option (Right to buy)	01/01/2002	01/01/2009	Common Stock	3,588 <u>(1)</u>	\$ 21.875	D	Â
Stock Option (Right to buy)	(4)	12/14/2009	Common Stock	49,336 <u>(1)</u>	\$ 15.264	D	Â
Stock Option (Right to buy)	01/19/2003	01/19/2010	Common Stock	31,824 (1)	\$ 15.625	D	Â
Stock Option (Right to buy)	07/18/2003	07/18/2010	Common Stock	12,480 (1)	\$ 17.488	D	Â
Stock Option (Right to buy)	01/01/2004	01/01/2011	Common Stock	24,180 (1)	\$ 22.496	D	Â
Stock Option (Right to buy)	01/01/2005	01/01/2012	Common Stock	29,952 (1)	\$ 21.561	D	Â
Stock Option (Right to buy)	01/01/2006	01/01/2013	Common Stock	29,952 (1)	\$ 21.718	D	Â
Stock Option (Right to buy)	01/01/2007	01/01/2014	Common Stock	30,888 (1)	\$ 24.837	D	Â
Stock Option (Right to buy)	01/01/2008	01/01/2015	Common Stock	30,888 (1)	\$ 26.788	D	Â
Stock Option (Right to buy)	01/01/2009	01/01/2016	Common Stock	35,100 (1)	\$ 27.208	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships			
<b>FB</b>	Director	10% Owner	Officer	Other
TURNER JAMES L 526 S. CHURCH STREET CHARLOTTE Â NCÂ 28202	Â	Â	Group Executive & CCO-FE&G	Â

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## **Signatures**

By: David S. Maltz, attorney-in-fact 04/13/2006

\*\*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).
- On April 3, 2006, Cinergy Corp. ('Issuer') merged into a wholly-owned subsidiary of Duke Energy Holding Corp. (now known as Duke Energy Corporation) ('Duke Energy'). In connection with the merger, each share of Issuer's common stock was converted into the right to receive 1.56 shares of Duke Energy's common stock and each stock option of Issuer was converted by multplying the number of Issuer shares previously covered by the option by 1.56 and dividing the prior exercise price of the option by 1.56.
- (2) Generally payable upon reporting person's termination of service.
- (3) The derivative security converts into common stock on a one-for-one basis and will be settled in stock.
- (4) The reporting person was granted 50,000 stock options on December 14, 1999. The options became exercisable in five equal annual installments.

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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