

Duke Energy CORP
Form 4
November 09, 2011

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
GOOD LYNN J

(Last) (First) (Middle)
526 S. CHURCH 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)
11/07/2011

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)
Grp Exec & CFO

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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	11/07/2011		M		4,555 A \$ 12.5	140,482	D
Common Stock	11/07/2011		M		14,663 A \$ 14.15	155,145	D
Common Stock	11/07/2011		M		15,132 A \$ 15.26	170,277	D
Common Stock	11/07/2011		M		3,588 A \$ 15.33	173,865	D
Common Stock	11/07/2011		S		37,938 D \$ 20.56	135,927	D

Edgar Filing: Duke Energy CORP - Form 4

Common Stock	4,981	I	By 401(k)
Common Stock	3,987	I	By Spouse

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.

SEC 1474
(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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 12.5	11/07/2011		M	4,555	<u>(1)</u> 07/22/2013	Common Stock	4,555	
Stock Option (Right to Buy)	\$ 14.15	11/07/2011		M	14,663	<u>(1)</u> 01/01/2014	Common Stock	14,663	
Stock Option (Right to Buy)	\$ 15.26	11/07/2011		M	15,132	<u>(1)</u> 01/01/2015	Common Stock	15,132	
Stock Option (Right to Buy)	\$ 15.33	11/07/2011		M	3,588	12/14/2008 12/14/2015	Common Stock	3,588	

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

GOOD LYNN J
526 S. CHURCH STREET
CHARLOTTE, NC 28202

Grp Exec & CFO

Signatures

/s/ David S. Maltz, attorney-in-fact Lynn J.
Good

11/08/2011

__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) All options became exercisable in connection with the April 3, 2006 merger between Duke Energy and Cinergy.

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.