

Duke Energy CORP  
Form 3  
April 12, 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  
Person \*

Â SHAW RUTH G

(Last) (First) (Middle)

526 S. CHURCH STREET

(Street)

CHARLOTTE,Â NCÂ 28202

(City) (State) (Zip)

2. Date of Event  
Requiring Statement  
(Month/Day/Year)

04/03/2006

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

4. Relationship of Reporting  
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer ☐ Other  
(give title below) (specify below)  
GrpExec-PubPol&Pres, Duke Nuc

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

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 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 <sup>(1)</sup>

16,590

D

Â

Common Stock <sup>(1)</sup>

12,012

I

By Trustee, Retirement Savings  
Plan

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  
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### 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)

4. Conversion  
or Exercise  
Price of

5. Ownership  
Form of  
Derivative

6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

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|                                                             | Date Exercisable          | Expiration Date  | Title        | Amount or Number of Shares | Derivative Security | Security: Direct (D) or Indirect (I) (Instr. 5) |                                       |
|-------------------------------------------------------------|---------------------------|------------------|--------------|----------------------------|---------------------|-------------------------------------------------|---------------------------------------|
| LTIP Phantom Stock Grant Feb 2004 <sup>(1)</sup>            | Â <sup>(2)</sup>          | Â <sup>(3)</sup> | Common Stock | 17,550                     | \$ <sup>(4)</sup>   | D                                               | Â                                     |
| LTIP Phantom Stock Grant Feb 2005 <sup>(1)</sup>            | Â <sup>(2)</sup>          | Â <sup>(3)</sup> | Common Stock | 18,608                     | \$ <sup>(4)</sup>   | D                                               | Â                                     |
| Phantom Stock (Chairman's Award August 1999) <sup>(1)</sup> | 08/18/2006 <sup>(5)</sup> | Â <sup>(3)</sup> | Common Stock | 18,667                     | \$ <sup>(4)</sup>   | D                                               | Â                                     |
| Phantom Stock ESP I <sup>(1)</sup>                          | Â <sup>(6)</sup>          | Â <sup>(3)</sup> | Common Stock | 32,077                     | \$ <sup>(4)</sup>   | I                                               | By Trustee, Executive Savings Plan I  |
| Phantom Stock ESP II <sup>(1)</sup>                         | Â <sup>(7)</sup>          | Â <sup>(3)</sup> | Common Stock | 4,589                      | \$ <sup>(4)</sup>   | I                                               | By Trustee, Executive Savings Plan II |
| Stock Option (Right to Buy) <sup>(1)</sup>                  | 04/16/2003                | 04/16/2008       | Common Stock | 200,000                    | \$ 29.47            | D                                               | Â                                     |
| Stock Option (Right to Buy) <sup>(1)</sup>                  | 12/20/2004                | 12/20/2009       | Common Stock | 93,000                     | \$ 24.88            | D                                               | Â                                     |
| Stock Option (Right to Buy) <sup>(1)</sup>                  | 12/20/2005                | 12/20/2010       | Common Stock | 123,600                    | \$ 42.81            | D                                               | Â                                     |
| Stock Option (Right to Buy) <sup>(1)</sup>                  | 12/19/2005                | 12/19/2011       | Common Stock | 91,500                     | \$ 37.68            | D                                               | Â                                     |
| Stock Option (Right to Buy) <sup>(1)</sup>                  | Â <sup>(8)</sup>          | 02/25/2013       | Common Stock | 110,000                    | \$ 13.77            | D                                               | Â                                     |

## Reporting Owners

| Reporting Owner Name / Address                             | Relationships |           |                                    |       |
|------------------------------------------------------------|---------------|-----------|------------------------------------|-------|
|                                                            | Director      | 10% Owner | Officer                            | Other |
| SHAW RUTH G<br>526 S. CHURCH STREET<br>CHARLOTTE, NC 28202 | Â             | Â         | Â GrpExec-PubPol&Pres,<br>Duke Nuc | Â     |

## Signatures

By: Judy Z. Mayo,  
Attorney-in-fact for

04/12/2006

                    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, Duke Power Company, LLC, formerly known as Duke Energy Corporation (Predecessor), merged into a wholly-owned subsidiary of Duke Energy Corporation, formerly known as Duke Energy Holding Corp. (Issuer). In connection with the merger, each share of Predecessor's common stock was converted into the right to receive one share of Issuer's common stock.

- (1) The phantom stock vests in 5 equal annual installments beginning on the first anniversary of the grant date.
- (2) Expiration date not applicable.
- (3) Converts to Common Stock on a 1-for-1 basis.
- (4) May vest earlier upon achievement of specified total shareholder return.
- (5) Payable upon termination of employment or occurrence of other events as specified in the Executive Savings Plan I.
- (6) Payable upon termination of employment or occurrence of other events as specified in the Executive Savings Plan II, subject to holding periods required by law.
- (7) Final installment of one-fourth of the original grant vests on February 25, 2007; remainder fully vested as of February 25, 2006.

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.