

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  
Person \*

Â COX PHILLIP R

(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)

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

4,992 <sup>(1)</sup>

D Â

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  
Derivative  
Security

5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)  
or Indirect

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

Date Exercisable      Expiration  
Date

Title      Amount or  
Number of

# Edgar Filing: Duke Energy CORP - Form 3

|                                |       |            |                 | Shares            |           | (I)<br>(Instr. 5) |   |
|--------------------------------|-------|------------|-----------------|-------------------|-----------|-------------------|---|
| Phantom Stock                  | Â (2) | Â (2)      | Common<br>Stock | 27,097.348<br>(1) | \$ (3)    | D                 | Â |
| Stock Option (Right to<br>buy) | Â (4) | 12/14/2009 | Common<br>Stock | 15,600 (1)        | \$ 15.264 | D                 | Â |

## Reporting Owners

| Reporting Owner Name / Address                               | Relationships |           |         |       |
|--------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                              | Director      | 10% Owner | Officer | Other |
| COX PHILLIP R<br>526 S. CHURCH STREET<br>CHARLOTTE, NC 28202 | Â X           | Â         | Â       | Â     |

## 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).
  - (1) 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 multiplying 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 10,000 stock options on December 14, 1999. The options became exercisable in five equal annual installments.

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### Remarks:

The Form 4 filed on January 4, 2006 over-reported approximately 47 shares and the Form 4 filed

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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