

BARRON HENRY B JR  
Form 3  
November 03, 2006

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

**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)

<p>1. Name and Address of Reporting Person *</p> <p>Â BARRON HENRY B JR</p> <p>(Last) (First) (Middle)</p> <p>526 S. CHURCH STREET</p> <p>(Street)</p> <p>CHARLOTTE,Â NCÂ 28202</p> <p>(City) (State) (Zip)</p>	<p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>10/24/2006</p>	<p>3. Issuer Name and Ticker or Trading Symbol</p> <p>Duke Energy CORP [DUK]</p>	<p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner</p> <p><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other</p> <p>(give title below) (specify below)</p> <p>Grp Exec;Chief Nuclear Officer</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person</p> <p><input type="checkbox"/> Form filed by More than One Reporting Person</p>
---	---	--	---	---	--

**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	52,405	D	Â
Common Stock	8,978	I	By 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 currently valid OMB control number.**

**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	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
---	---	--	---	---	--

Edgar Filing: BARRON HENRY B JR - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
LTIP Phantom Stock Grant Apr 2006	Â (1)	Â (2)	Common Stock	15,780	\$ (3)	D	Â
LTIP Phantom Stock Grant Feb 2004	Â (1)	Â (2)	Common Stock	6,204	\$ (3)	D	Â
LTIP Phantom Stock Grant Feb 2005	Â (1)	Â (2)	Common Stock	9,576	\$ (3)	D	Â
Phantom Stock ESP I	Â (4)	Â (2)	Common Stock	16,713	\$ (3)	D	Â
Phantom Stock ESP II	Â (4)	Â (2)	Common Stock	1,032	\$ (3)	D	Â
Stock Option (Right to Buy)	02/17/2002	02/17/2008	Common Stock	10,600	\$ 27.63	D	Â
Stock Option (Right to Buy)	02/17/2003	02/17/2009	Common Stock	16,000	\$ 29.66	D	Â
Stock Option (Right to Buy)	12/20/2003	12/20/2009	Common Stock	17,400	\$ 24.88	D	Â
Stock Option (Right to Buy)	12/20/2004	12/20/2010	Common Stock	10,400	\$ 42.81	D	Â
Stock Option (Right to Buy)	12/19/2005	12/19/2011	Common Stock	11,400	\$ 37.68	D	Â
Stock Option (Right to Buy)	Â (5)	02/25/2013	Common Stock	5,950	\$ 13.77	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BARRON HENRY B JR 526 S. CHURCH STREET CHARLOTTE, NC 28202	Â	Â	Â Grp Exec;Chief Nuclear Officer	Â

## Signatures

By: David S. Maltz,  
Attorney-in-fact for

11/03/2006

\_\_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).

## Edgar Filing: BARRON HENRY B JR - Form 3

- (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) Payable upon termination of employment or occurrence of other events as specified in the Plan.
- (5) Vested in four annual, equal installments beginning on February 25, 2004.

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.