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|--|-----------------------------------|--|---|
| PAYER'S name, address and phone number<br><br><b>Duke Energy Corporation</b><br>Investor Relations Department<br>PO Box 1005<br>Charlotte NC 28201-1005<br><br>Phone: 800.488.3853   |                                   | <b>1a</b> Description of property<br><br>0.4415<br><br>share(s) of Duke Energy<br>Corporation common<br>stock [DUK]  | OMB No. 1545-0715<br><br><b>2019</b><br>Form 1099-B<br><br><b>1c</b> Date sold or<br>disposed<br>12/05/19 |
| RECIPIENT'S name and address<br><br>0007250 01 MB 0.436 **AUTO TO 0 2027 10036-622108 -C01<br><br><br><br>CLAUDE SIMON ADM<br>EST VICKI SIMON<br>534 WEST 42ND ST APT 8<br>NEW YORK NY 10036-6221 |                                   | <b>1d</b> Proceeds<br><br>\$39.27<br><br>Account number<br><br>0001074048<br><br>CUSIP number<br><br>26441C204<br><br><b>6</b> Reported to IRS:<br><br>Gross Proceeds <input type="checkbox"/><br>Net Proceeds <input checked="" type="checkbox"/> | <b>Proceeds From<br/>Broker and<br/>Barter Exchange<br/>Transactions</b>                                  |
| PAYER'S TIN<br><br><b>20-2777218</b>   | RECIPIENT'S TIN<br><br>XX-XXX6649 |  |   |

Form **1099-B**

(Keep for your records)

Department of the Treasury - Internal Revenue Service

| Shares liquidated | <b>1b</b> Date acquired | <b>1d</b> Proceeds | <b>1e</b> Cost or other basis | <b>1g</b> Wash sale loss disallowed | <b>2</b> Type of gain or loss | <b>4 Federal Income Tax Withheld</b> | <b>5</b> If checked, non covered security |
|-------------------|-------------------------|--------------------|-------------------------------|-------------------------------------|-------------------------------|--------------------------------------|---|
| 0.4415 shares     | 09/19/19                | \$39.27            | \$41.54                       | \$2.27                              | long-term                     | \$0.00                               |   |

Report on Form 8949, with **Box D** checked:

|               |          |         |         |        |           |        |  |
|---------------|----------|---------|---------|--------|-----------|--------|--|
| 0.4415 shares | 09/19/19 | \$39.27 | \$41.54 | \$2.27 | long-term | \$0.00 |  |
|---------------|----------|---------|---------|--------|-----------|--------|--|

**Instructions for Recipient:**

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting also is required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number.

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported.

**Box 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates.

**Box 1c.** Shows the trade date of the sale or exchange.

**Proceeds From  
Broker and  
Barter Exchange  
Transactions****Copy B  
For Recipient**

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.



**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts.

**Box 1e.** Shows the cost or other basis of securities sold. See the Instructions for Form 8949, Instructions for Schedule D, or Pub. 550 for details.

**Box 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales see Schedule D (Form 1040) instructions, Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Box 2. Short-term or long-term** pertains to short-term gain or loss and long-term gain or loss. If box 5 is checked, box 2 may be blank.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, or stock purchased in or transferred to a dividend reinvestment plan before 2012.