

PAYER'S name, address and phone number	
<b>Duke Energy Corporation</b> Investor Relations Department P.O. Box 1005 Charlotte NC 28201-1005	
Phone: 1.800.488.3853	
RECIPIENT'S name and address	
CLAUDE SIMON ADM EST VICKI SIMON 534 WEST 42ND ST APT 8 NEW YORK, NY 10036	

Form **1099-DIV**      (Keep for your records)

<input type="checkbox"/> CORRECTED (if checked)	
1a Total ordinary dividends	OMB No 1545-0110
\$23.94	<b>2020</b>
1b Qualified dividends	
\$23.94	Form <b>1099-DIV</b>
3 Nondividend distributions	4 Federal income tax withheld
	\$0.00
Stock type	
COMMON & DIV. REIN.	
PAYER'S TIN	
20-2777218	
RECIPIENT'S TIN	
*****6649	
Account Number (see instructions)	
1074048	

Department of the Treasury - Internal Revenue Service

## Dividends and Distributions

### 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.



## Duke Energy Corporation IMPORTANT TAX INFORMATION FOR SHAREHOLDERS

### Federal Income Tax:

Based upon operations for the year, the common dividends paid in each quarter of 2020 are fully taxable. Accordingly, all 2020 common dividends should be reported as taxable income.

### Instructions for Recipient:

**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 employee 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.

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR instructions for how to determine this amount and where to report.

Charlotte, N.C., December 31, 2020

**Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

\*Listed below are the 2020 ex-dividend dates which may be needed to determine eligible amount included in Box 1b.

2/13/2020      5/14/2020      8/13/2020      11/12/2020





Investor Relations Department  
P.O. Box 1005  
Charlotte, NC 28201-1005  
(704) 382-3853 CHARLOTTE  
(800) 488-3853 TOLL FREE  
[www.duke-energy.com/investors/](http://www.duke-energy.com/investors/)

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0049834 -C02-P49883-I2



CLAUDE SIMON ADM  
EST VICKI SIMON  
534 WEST 42ND ST APT 8  
NEW YORK, NY 10036-6221



Optional investments to purchase additional shares is available to plan participants only.  
Shareholders may enroll in the Plan by obtaining a copy of the prospectus either in electronic form at [www.duke-energy.com/investors/](http://www.duke-energy.com/investors/) or in paper form by calling us and then signing the reverse side of this statement.

#### Optional Investment

Make check payable to: Duke Energy  
(minimum \$50 per investment)

Amount Enclosed

Account Number

Address Change only (Otherwise leave blank)

Street

City  State  Zip Code

00010740488



Manage Your Account Online. Visit: [www.duke-energy.com/investors/online/](http://www.duke-energy.com/investors/online/)  
See reverse side for notes and to conduct a Plan transaction.

Certificate Shares :	0	NYSE Close :	\$91.56	Statement Date :	01/11/21
Direct Registration Shares :	0	Market Value :	\$589.57	Account Number :	1074048
Plan Shares :	6.4392				
Total Shares :	6.4392				

① TRANSACTION DATE	TYPE OF TRANSACTION	DOLLAR AMOUNT	② PRICE PER SHARE	TRANSACTION SHARES	SHARE BALANCE
01/01/20	BEGINNING BALANCE				6.1598
03/16/20	DIVIDENDS TO BE REINVESTED	\$5.82			6.1598
03/19/20	SHARES PURCHASED	\$5.82	\$80.08	.0727	6.2325
06/16/20	DIVIDENDS TO BE REINVESTED	\$5.89			6.2325
06/18/20	SHARES PURCHASED	\$5.89	\$86.42	.0682	6.3007
09/16/20	DIVIDENDS TO BE REINVESTED	\$6.08			6.3007
09/17/20	SHARES PURCHASED	\$6.08	\$85.02	.0715	6.3722
12/16/20	DIVIDENDS TO BE REINVESTED	\$6.15			6.3722
12/17/20	SHARES PURCHASED	\$6.15	\$91.79	.067	6.4392

③ Record Date :	11/13/20	Certificate/DRS Record Date Shares :	
Dividend Rate :	0.965	Plan Record Date Shares :	6.3722

YTD Taxable Income	
Dividends :	\$23.94
④ Earned Income :	\$0.00

#### Broker / Dealer Information

(Page 0001 of 0002)

YTD Tax Withheld : \$0.00  
⑤ Tax Certification Status : CERTIFIED

⑥ Firm Name  
Participant No. 188  
Account No. 496121567

**Sell shares (send me a check):**

- Sell \_\_\_\_\_ Plan shares.
- Sell ALL Plan shares and close my account.
- Deposit enclosed common stock certificate(s) into my Plan account and sell \_\_\_\_\_ shares.
- Deposit \_\_\_\_\_ Direct Registration System (DRS) shares into my Plan account and sell.

**Move Plan shares to Direct Registration Systems (DRS):**

- Move ALL Plan shares to my DRS account and sell remaining fractional share.
- Move ALL whole Plan shares to my DRS account and allow me to send optional cash investments into my Plan account.
- Move \_\_\_\_\_ Plan shares to my DRS account.

**Online account access through DUK-Online:**

- Send a security code to establish online account access
- Please change my email address to:

**Dividends:**

- Fully reinvest dividends on ALL shares.
- Reinvest dividends earned on all Plan shares, and pay dividends earned on DRS shares in cash.
- Reinvest \_\_\_\_\_ % of dividends earned on Plan shares only (minimum 10%), and pay all remaining dividends in cash.

**Bank Draft – (minimum \$25.00):**

- Start a monthly bank draft, pursuant to the terms of the Plan, for \$ \_\_\_\_\_ per month on my **checking** or **savings** (circle one) account (attach a voided check).
- Change my bank account information effective \_\_\_\_\_ (attach a voided check).
- Change my bank draft amount to \$ \_\_\_\_\_.
- Stop my monthly bank draft effective \_\_\_\_\_ (month).

**⑦ Signatures (all owners must sign):**

Transactions specified in Note 7 require enrollment in the Plan. Any selection of these transactions combined with signatures of ALL owners on this form is a request to be enrolled in the Plan. You certify that the Plan Prospectus has been made available to you in electronic form at [www.duke-energy.com/investors/](http://www.duke-energy.com/investors/) or in paper form and you agree to abide by the terms and conditions of the Plan.

(Signature and daytime phone)

(Signature and daytime phone)

If faxing your request, please fax **both sides** of the top portion to (704) 382-3814.

↑ DETACH HERE ↑

**InvestorDirect Choice Plan (the Plan) information – please read**

Investment dates for optional investments generally occur each Thursday. Note: Optional investments received fewer than two business days before an Investment Date will be held until the next Investment Date. Please see the Plan Prospectus for more information.

When you provide a check as payment, you authorize us either to use information from your check to make a one-time electronic fund transfer from your account or to process the payment as a check transaction.

You may change your participation in the **InvestorDirect Choice Plan** (the Plan), request a partial withdrawal of shares held for you in the Plan, or terminate your participation in the Plan as outlined in the Plan Prospectus. Please provide written notice to Duke Energy Corporation Investor Relations or mark the appropriate box above. Fill in all necessary blanks and sign exactly as your name(s) appear(s) on the front of the statement. Detach and mail to Duke Energy at the address listed below.

Duke Energy will send to you, your stock certificates and/or proceeds as soon as practicable. If a notice of termination is received after a dividend record date but before the related dividend payment date, a separate dividend check will be mailed to you on the dividend payment date. Thereafter, cash dividends on any remaining Duke Energy Common Stock you hold will be paid to you and will not be reinvested.

When sending certificates for Safekeeping, it is recommended (although not required) they be sent by insured, registered mail for 2% of the market value.

Backup withholding at a rate of 28% of the proceeds from Plan sales will apply if your account is not certified. (Foreign Persons are subject to a rate of 30% if not certified). Your tax certification status is printed on the reverse side. In order to have certified your tax identification number, you should have returned the substitute Form W-9 which was mailed to you when the account was established. If you have not returned the Form W-9, please call our office and we will send you another form to complete and mail back to us. To avoid the required IRS backup withholding, we must have the completed Form W-9 before initiating the sale or payment of dividends. Participants enrolling after July 31, 1998 should have certified their tax identification number in the W-9 section on the Enrollment Form. (Note: If you are a Foreign Person, do not use Form W-9. Instead, use the appropriate Form W-8.)

**If you have any questions about your statement, please write or call:**

Duke Energy Corporation  
Investor Relations Department  
P.O. Box 1005  
Charlotte, NC 28201-1005

(704) 382-3853 Charlotte  
(800) 488-3853 Toll Free

Email form: [www.duke-energy.com/contactIR/](http://www.duke-energy.com/contactIR/)

**Note:**

1. The transaction date represents the date shares are credited to your account.
2. The price per share represents the weighted average price of shares purchased or sold on the open market, or the price of newly issued shares purchased directly from the company.
3. Information pertaining to record date, dividend rate and record date shares appears in these boxes only on quarterly statements.
4. Brokerage fees paid by company.
5. The status of "Certified" indicates that you have returned the substitute Form W-9 that was mailed to you when the account was established. If you have not returned the Form W-9, your status is "Uncertified". Please call our office and we will send you another form to complete and mail back to us. To avoid the required IRS backup withholding, we must have the completed Form W-9 before initiating the sale of Plan shares or payment of dividends. (Note: If you are a Foreign Person, do not use Form W-9. Instead, use the appropriate Form W-8.)
6. Broker / Dealer information is used in Direct Registration processing.
7. All shareholders who desire to conduct transactions on their account related to optional investments, dividend reinvestment, safekeeping into the Plan, bank draft, or sale of shares must be enrolled in the InvestorDirect Choice Plan. Shareholders may enroll in the Plan by obtaining a copy of the Plan Prospectus, either in electronic form at [www.duke-energy.com/investors/](http://www.duke-energy.com/investors/) or in paper form by calling us and then signing the top portion of this statement.