

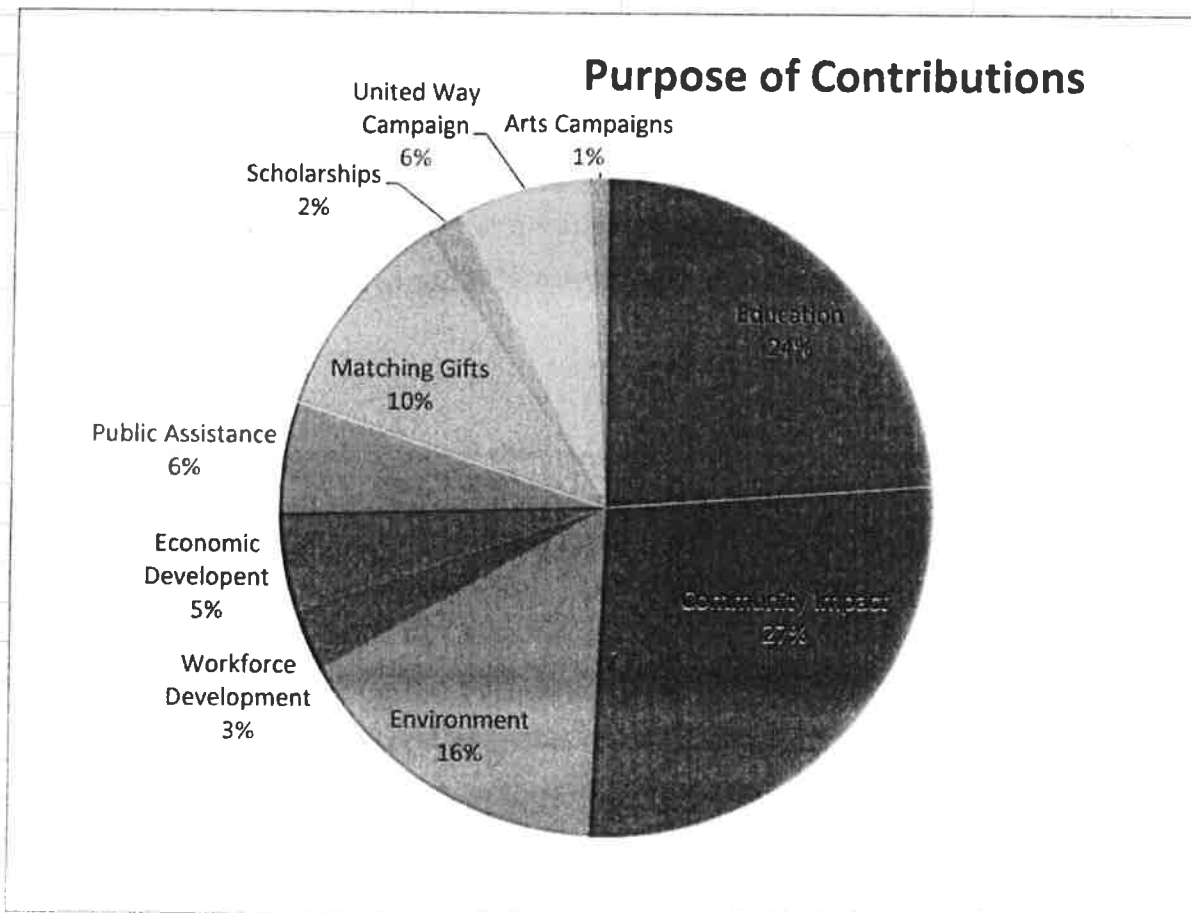
Duke Energy Foundation 2016 Form 990

NC WARN Fountain

Total Distribution \$32,636,336

CROSS-EXAMINATION EXH. 1

| Purpose of Grant/Contribution | Total Amount |
|-------------------------------|---------------------|
| Education | \$7,796,365 |
| Community Impact | \$8,741,753 |
| Environment | \$5,230,051 |
| Workforce Development | \$1,002,297 |
| Economic Development | \$1,558,625 |
| Public Assistance | \$1,809,424 |
| Matching Gifts | \$3,440,273 |
| Scholarships | \$611,158 |
| United Way Campaign | \$2,121,390 |
| Arts Campaigns | \$325,000 |
| | \$32,636,336 |



Duke Energy Foundation 2016 Form 990

| Top Recipients | Total Amount | *Single donations over \$100,000 |
|--|---------------------|---|
| Foundation for the Carolinas | \$3,200,000 | |
| Share the Warmth Fund | \$625,000 | |
| NC Community Foundation, Inc. | \$2,030,000 | |
| UNC Chapel Hill | \$455,000 | |
| North Carolina State University Foundation, Inc. | \$450,000 | |
| Arts & Science Council Charlotte | \$250,000 | |
| Medical Foundation of NC, Inc. | \$250,000 | |
| NC Museum of Art | \$200,000 | |
| Greater Raleigh Chamber of Commerce Community Development Foundation | \$200,000 | |
| Natural Science Center of Greensboro | \$200,000 | |
| Carolina Ballet, Inc. | \$175,000 | |
| East Carolina University Foundation, Inc. | \$170,000 | |
| Foundation of UNC Charlotte | \$140,000 | |
| American National Red Cross | \$125,000 | |
| Mint Museum of Art, Inc. | \$125,000 | |
| Andreas H. Bechfter Arts Foundation | \$125,000 | |
| NC Symphony Society, Inc. | \$105,000 | |
| Western Piedmont Council of Governments | \$100,000 | |

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

Department of the Treasury
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.

Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf

2014

Open to Public Inspection

For calendar year 2014 or tax year beginning

and ending

Name of foundation

DUKE ENERGY FOUNDATION

A Employer identification number

58-1586283

Number and street (or P.O. box number if mail is not delivered to street address)

400 SOUTH TRYON STREET

Room/suite

18

B Telephone number

704-382-7200

City or town, state or province, county, and ZIP or foreign postal code

CHARLOTTE, NC 28202

C If exemption application is pending, check here

G Check all that apply:

Initial return

Initial return of a former public charity

Final return

Amended return

Address change

Name change

D 1. Foreign organizations, check here

2. Foreign organizations meeting the 85% test; check here and attach computation

H Check type of organization:

Section 501(c)(3) exempt private foundation

Section 4947(a)(1) nonexempt charitable trust

Other taxable private foundation

E If private foundation status was terminated under section 507(b)(1)(A), check here

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here

I Fair market value of all assets at end of year

(from Part II, col. (c), line 16)

\$ **14,176,409.**

J Accounting method:

Cash

Accrual

Other (specify) **MODIFIED CASH**

(Part I, column (d) must be on cash basis.)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)

| | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|------------------------------------|---------------------------|-------------------------|---|
| Revenue | | | | |
| 1 Contributions, gifts, grants, etc., received | 22,276,944. | | | |
| 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B | | | | |
| 3 Interest on savings and temporary cash investments | 32,565. | 32,565. | | STATEMENT 1 |
| 4 Dividends and interest from securities | | | | |
| 5a Gross rents | | | | |
| b Net rental income or (loss) | | | | |
| 6a Net gain or (loss) from sale of assets not on line 10 | | | | |
| b Gross sales price for all assets on line 6a | | | | |
| 7 Capital gain net income (from Part IV, line 2) | | 0. | | |
| 8 Net short-term capital gain | | | | |
| 9 Income modifications | | | | |
| 10a Gross sales less returns and allowances | | | | |
| b Less: Cost of goods sold | | | | |
| c Gross profit or (loss) | | | | |
| 11 Other income | | | | |
| 12 Total. Add lines 1 through 11 | 22,309,509. | 32,565. | 0. | |
| Operating and Administrative Expenses | | | | |
| 13 Compensation of officers, directors, trustees, etc. | 0. | 0. | 0. | 0. |
| 14 Other employee salaries and wages | | | | |
| 15 Pension plans, employee benefits | | | | |
| 16a Legal fees | | | | |
| b Accounting fees STMT 2 | 2,850. | 0. | 0. | 2,650. |
| c Other professional fees | | | | |
| 17 Interest | | | | |
| 18 Taxes STMT 3 | 547. | 0. | 0. | 0. |
| 19 Depreciation and depletion | | | | |
| 20 Occupancy | | | | |
| 21 Travel, conferences, and meetings | | | | |
| 22 Printing and publications | | | | |
| 23 Other expenses STMT 4 | 3,220. | 0. | 0. | 3,220. |
| 24 Total operating and administrative expenses. Add lines 13 through 23 | 6,617. | 0. | 0. | 5,870. |
| 25 Contributions, gifts, grants paid | 29,664,844. | | | 29,664,844. |
| 26 Total expenses and disbursements. Add lines 24 and 25 | 29,671,461. | 0. | 0. | 29,670,714. |
| 27 Subtract line 26 from line 12: | | | | |
| a Excess of revenue less expenses and disbursements | 7,361,952.> | | | |
| b Net investment income (disbursement less 0) | | 32,565. | | |
| c Adjusted net income (if negative, enter 0) | | | 0. | |

EXTENDED TO NOVEMBER 15, 2016

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

Form 990-PF

Department of the Treasury
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.

Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

OMB No. 1545-0047

2015

Open to Public Inspection

For calendar year 2015 or tax year beginning , and ending

Name of foundation
DUKE ENERGY FOUNDATION

Number and street (or P.O. box number if mail is not delivered to street address) Room/suite
526 SOUTH CHURCH STREET ECO6B

City or town, state or province, country, and ZIP or foreign postal code
CHARLOTTE, NC 28202

A Employer identification number
58-1586283

B Telephone number
704-382-7200

C If exemption application is pending, check here

D 1. Foreign organizations, check here
2. Foreign organizations meeting the 85% test check here and attach computation

E If private foundation status was terminated under section 507(b)(1)(A), check here

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here

G Check all that apply: Initial return Initial return of a former public charity
 Final return Amended return
 Address change Name change

H Check type of organization: Section 501(c)(3) exempt private foundation
 Section 4947(a)(1) nonexempt charitable trust Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col. (c), line 16)
\$ 4,148,543. (Part I, column (a) must be on cash basis.)

J Accounting method: Cash Accrual
 Other (specify) **MODIFIED CASH**

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).) | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) | |
|---|--|------------------------------------|---------------------------|-------------------------|---|--------|
| Revenue | 1 Contributions, gifts, grants, etc., received | 21,888,532. | | | | |
| | 2 Check <input type="checkbox"/> If the foundation is not required to attach Sch. E interest on savings and temporary cash investments | | | | | |
| | 3 Interest on savings and temporary cash investments | 34,419. | 34,419. | | STATEMENT 1 | |
| | 4 Dividends and interest from securities | | | | | |
| | 5a Gross rents | | | | | |
| | b Net rental income or (loss) | | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | | | | | |
| | b Gross sales price for all assets on line 6a | | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 0. | | | |
| | 8 Net short-term capital gain | | | | | |
| | 9 Income modifications (Gross sales less returns and allowances) | | | | | |
| | 10a Less: Cost of goods sold | | | | | |
| c Gross profit or (loss) | | | | | | |
| 11 Other income | | | | | | |
| 12 Total. Add lines 1 through 11 | 21,922,951. | 34,419. | 0. | | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc. | 0. | 0. | 0. | 0. | |
| | 14 Other employee salaries and wages | | | | | |
| | 15 Pension plans, employee benefits | | | | | |
| | 16a Legal fees | | | | | |
| | b Accounting fees | STMT 2 | 3,000. | 0. | 0. | 3,000. |
| | c Other professional fees | | | | | |
| | 17 Interest | | | | | |
| | 18 Taxes | | | | | |
| | 19 Depreciation and depletion | | | | | |
| | 20 Occupancy | | | | | |
| | 21 Travel, conferences, and meetings | | | | | |
| | 22 Printing and publications | | | | | |
| | 23 Other expenses | | | | | |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 3,000. | 0. | 0. | 3,000. | |
| | 25 Contributions, gifts, grants paid | 31,179,628. | | | 31,179,628. | |
| 26 Total expenses and disbursements. Add lines 24 and 25 | 31,182,628. | 0. | 0. | 31,182,628. | | |
| 27 Subtract line 26 from line 12: | | | | | | |
| a Excess of revenue over expenses and disbursements | 9,259,677.> | | | | | |
| b Net investment income (if negative, enter 0) | | 34,419. | | | | |
| c Adjusted net income (if negative, enter 0) | | | 0. | | | |

Return of Private Foundation

or Section 4947(b)(1) Trust Treated as Private Foundation

Department of the Treasury
Internal Revenue Service

▶ Do not enter social security numbers on this form as it may be made public.
▶ Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

2016

For calendar year 2016 or tax year beginning

, and ending

| | | |
|--|---|---|
| Name of foundation DUKE ENERGY FOUNDATION | | A Employer identification number 58-1586283 |
| Number and street (or P.O. box number if mail is not delivered to street address) 526 SOUTH CHURCH STREET | Room/suite ECO6B | B Telephone number 704-382-7200 |
| City or town, state or province, country, and ZIP or foreign postal code CHARLOTTE, NC 28202 | | C If exemption application is pending, check here <input type="checkbox"/> |
| G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change | | D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organization meeting the 65% test, check here and attach computation <input type="checkbox"/> |
| H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation | | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> |
| I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 3,292,020. (Part I, column (d) must be on cash basis.) | J Accounting method: <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input checked="" type="checkbox"/> Other (specify) MODIFIED CASH | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> |

| Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)</small> | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cost basis only) |
|--|------------------------------------|---------------------------|-------------------------|---|
| Revenue | | | | |
| 1 Contributions, gifts, grants, etc., received | 31,508,039. | | | |
| 2 Check <input type="checkbox"/> if the foundation is not required to attach Schedule K-1 | | | | |
| 3 Interest on savings and temporary cash investments | 36,432. | 36,432. | | STATEMENT 1 |
| 4 Dividends and interest from securities | | | | |
| 5a Gross rents | | | | |
| b Net rental income or (loss) | | | | |
| 6a Net gain or (loss) from sale of assets not on line 10 (Gross sales price for all assets on line 6a) | | | | |
| b | | | | |
| 7 Capital gain net income (from Part IV, line 2) | | 0. | | |
| 8 Net short-term capital gain | | | | |
| 9 Income modifications: Gross sales less returns and allowances | | | | |
| 10a | | | | |
| b Less: Cost of goods sold | | | | |
| c Gross profit or (loss) | | | | |
| 11 Other income | | | | |
| 12 Total. Add lines 1 through 11 | 31,544,471. | 36,432. | 0. | |
| Operating and Administrative Expenses | | | | |
| 13 Compensation of officers, directors, trustees, etc. | 0. | 0. | 0. | 0. |
| 14 Other employee salaries and wages | | | | |
| 15 Pension plans, employee benefits | | | | |
| 16a Legal fees | | | | |
| b Accounting fees STMT 2 | 4,500. | 0. | 0. | 4,500. |
| c Other professional fees | | | | |
| 17 Interest | | | | |
| 18 Taxes STMT 3 | 364. | 0. | 0. | 0. |
| 19 Depreciation and depletion | | | | |
| 20 Occupancy | | | | |
| 21 Travel, conferences, and meetings | | | | |
| 22 Printing and publications | | | | |
| 23 Other expenses | | | | |
| 24 Total operating and administrative expenses. Add lines 13 through 23 | 4,864. | 0. | 0. | 4,500. |
| 25 Contributions, gifts, grants paid | 32,636,336. | | | 32,636,336. |
| 26 Total expenses and disbursements. Add lines 24 and 25 | 32,641,200. | 0. | 0. | 32,640,836. |
| 27 Subtract line 26 from line 12 | | | | |
| a Excess of revenue over expenses and disbursements | <1,096,729.> | | | |
| b Net investment income (if negative, enter -0-) | | 36,432. | | |
| c Adjusted net income (if negative, enter -0-) | | | 0. | |

Date Filed: 1/22/2018
 Elaine F. Marshall
 NC Secretary of State
 Y201802500070



Elaine F. Marshall, Secretary of State
 2017 Principal Expense Report Form

For monthly and quarterly reports with reportable expenditures; if you have no reportable expenditure, use Form PR-EZ Zero Expense Short Form.

Mailing Address Lobbying Compliance Division
 Department of the Secretary of State
 P. O. Box 29622
 Raleigh, NC 27626-0622

Street Address: 2 South Salisbury Street
 Raleigh, NC 27601-2903

Amended Report: (Check if amending previously filed report.)

Original Report Tracking #

Period: Quarter Ended December 31, 2017

Complete Name of Principal: Duke Energy Carolinas, LLC

If the registered lobbyist principal has directed any lobbyist listed below to lobby on behalf of an unregistered associated entity, the principal must complete and attach Schedule PR-QAE to this quarterly report. The absence of such attachment constitutes the authorized officer's affirmative statement under oath that there are no such unregistered associated entities to disclose for the reporting period pursuant to G.S. §120C-403(b)(6).

Name(s) of Lobbyist(s) as Registered: Kathy G. Hawkins, Kelli H. Kukura, Susan Fetzer Vick, Jaz Tunnell, Mark McIntire, Dana E. Simpson, Tracy W. Kimbrell, Kara Weishaar, Nathan Babcock, Robert W. Kaylor

Include all lobbyists registered during any portion of the calendar year, including interim resignations/terminations.

I choose to maintain the paper original inked, signed, and notarized lobbying expense report in my own records for three years as required by Administrative Rule 18 NCAC 12 .1301; OR

I choose to deliver the paper original inked, signed, and notarized lobbying expense report to the Lobbying Compliance Division of the Secretary of State within seven days as required by Administrative Rule 18 NCAC 12 .0214.

Part I: Reportable Expenditures

Note: If 15 or less designated individuals ("Dis") are benefited, list by name; if more than 15, list approximate number benefited and basis for their selection; i.e., the name of the legislative body, committee or caucus or the name of the public servant group whose membership list is a matter of public record under NCGS §132-1, or some other description that clearly distinguishes the group's purpose or composition. If Dis' immediate family members are benefited, state separately. N.C. Gen. Stat. § 120C-401(b1).

| | | | | | |
|----|----------------------------|----------------|---------------------|----|-------|
| | | *Expense Codes | | | |
| TL | Transportation and Lodging | FB | Food and Beverages | GI | Gifts |
| EN | Entertainment | ME | Meetings and Events | OT | Other |

Section A. Principal Made Directly

| Date | Description of Expenditure, Payee/Beneficiary and Address | Designated Individual(s) or Immediate Family Member(s) Benefited | *Exp. Code | Amount |
|--|---|--|------------|--------|
| Reportable Expenditures for Month/Quarter: (Do not reenter details for any previously reported monthly expenses. Previous monthly expenditures can be listed under "This Period's Subtotal" line.) | | | | |
| | | | | \$0 |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| If this is a quarterly report and you filed a <u>monthly</u> expense report for the month of October, please enter the subtotal. | | | | \$ |

Quarterly Total Reportable Expenditures: (Must enter total or "0") \$0

Section B. Principal Reimbursed to Lobbyist (check below if also reported on lobbyist's report)

| Date | Description of Expenditure, Payee/Beneficiary and Address | Name of Lobbyist | ↓ √ | Designated Individual(s) or Immediate Family Member(s) Benefited | *Exp. Code | Amount |
|---|---|------------------|--------|--|------------|--------|
| Reportable Expenditures for Month/Quarter: (Do not reenter details for any previously reported monthly expenses. Previous monthly expenditures can be listed under "This Period's Subtotal" line.) | | | | | | |
| | | | | | | \$0 |
| | | | | | | \$ |
| | | | | | | \$ |
| | | | | | | \$ |
| | | | | | | \$ |
| | | | | | | \$ |
| | | | | | | \$ |
| | | | | | | \$ |
| | | | | | | \$ |
| | | | | | | \$ |
| If this is a quarterly report and you filed a <u>monthly</u> expense report for the month of October, please enter the subtotal. | | | | | | \$ |

Quarterly Total Reportable Expenditures: (Must enter total or "0") **\$0**

Part II: Contractual Arrangements, Promises, Obligations and/or Direct Business Relationships In Effect During Previous 12 Months

| Effective Date(s) | Description of Contractual Arrangement, Promise, Obligation or Direct Business Relationship | Applicable Designated Individual ("DI") or DI Immediate Family Member | Amount or Other Consideration (Value) |
|---|---|---|---------------------------------------|
| Reportable Expenditures for Month/Quarter: (Do not reenter details for any previously reported monthly expenses. Previous monthly expenditures can be listed under "This Period's Subtotal" line.) | | | |
| | | | \$0 |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| If this is a quarterly report and you filed a <u>monthly</u> expense report for the month of October, please enter the subtotal. | | | \$ |

Quarterly Total Reportable Expenditures: (Must enter total or "0") **\$0**

Part III: Solicitation of Others Exceeding \$3,000.00

| Date(s) of Solicitation | Description of Solicitation | Payee/Beneficiary and Address | Expense Amount |
|---|-----------------------------|-------------------------------|----------------|
| Reportable Expenditures for Month/Quarter: (Do not reenter details for any previously reported monthly expenses. Previous monthly expenditures can be listed under "This Period's Subtotal" line.) | | | |
| | | | \$0 |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| If this is a quarterly report and you filed a <u>monthly</u> expense report for the month of October, please enter the subtotal. | | | \$ |

Quarterly Total Reportable Expenditures: (Must enter total or "0") **\$0**

Part IV. Event Reporting

(Use this page only if the principal has incurred event reportable expenditures.)

Please comply with the State Ethics Commission Rule, 30 NCAC 10C .0302 when completing Sections A or B for Event Reporting. This rule became effective on January 1, 2014.

State Ethics Commission Rule 30 NCAC 10C .0302 REPORTABLE EXPENDITURES MADE FOR LOBBYING

(a) For purposes of G.S. 120C-402(b)(1) and 120C-403(b)(1), when reporting expenditures for events held for lobbying, the entire cost of the event must be reported, not just the "gift" given or provided to the designated individual(s) attending the event. Examples of non-gift reportable expenditures made for lobbying are expenses and charges incurred for items and/or services provided in connection with the lobbying event, such as planning and organizing services, printing services and supplies, facility rental and set-up charges, food supplies and services, name badges, flowers, and other decorations.

(b) Reportable expenditures made for lobbying events shall be reported on the expense report filed with the Secretary of State for the month the lobbying event is held.

Section A. Principal Paid for Event Directly

Reportable Expenditures for Month/Quarter: (Do not reenter details for any previously reported monthly expenses. Previous monthly expenditures can be listed under "This Period's Subtotal" line.)

| Event Date | Name of Event & Description of Expenditure Payee/Beneficiary and Address | Designated Individual or Immediate Family or Third Party Beneficiary | *Expense Code | Total Cost of the Event Paid By Principal |
|-------------|--|--|---------------|---|
| 11/14-18/17 | National Foundation for Women Legislators (NFWL) Annual Conference Sponsorship of 2017 Annual Conference. Susan Vick was a speaker on the electricity grid/critical infrastructure panel. NFWL, Inc. 1727 King Street, Suite 300 Alexandria, VA 22314 | Rep. Rosa Gill Rep. Pat Hurley Rep. Pat McElraft | ME | \$5,000.00 |
| 12/6/17 | American Legislative Exchange Council (ALEC) ALEC State Reimbursement Fund (NC) – this fund is used by ALEC members to support travel-related expenses to ALEC meetings. The fund is for ALEC expenses directly related to education efforts for legislators. ALEC 2900 Crystal Drive, Suite 600 Arlington, VA 22202 | Approximately 18 members/staff of NC General Assembly | ME | \$2,500.00 |
| 12/6/17 | ALEC State Night, Jack's BBQ, Nashville, TN (Each attending designated individual received food/beverage valued at an average of \$57.57) | 18 members/staff of NC General Assembly | FB | 41.45 |
| 12/6/17 | ALEC State Night, Jack's BBQ, Nashville, TN (Each attending designated individual received food/beverage valued at an average of \$57.57) | 3 guests/family members of General Assembly members/staff | FB | 6.91 |
| | | | | |

| | | | | |
|----------|---|--|----|------------|
| 12/18/17 | Greater Durham Chamber of Commerce Sponsored Legislative Reception Greater Durham Chamber of Commerce 300 W. Morgan Street, Suite 1400 Durham, NC 27701 | Rep. Mickey Michaux Rep. MaryAnne Black Rep. Marcia Morey Sen. Mike Woodard Sen. Floyd McKissick Annette Taylor (Dir., Community Engagement) Rep. G.K. Butterfield Durham City Council Members Mayor Steve Schewel Durham County Commissioner Ellen Reckhow | FB | \$4,000.00 |
|----------|---|--|----|------------|

If this is a quarterly report and you filed a monthly expense report for the month of October, please enter the subtotal. \$25,028.53

Quarterly Total Reportable Expenditures: (Must enter total or "0") **\$36,576.89**

Section B. Principal Reimbursed Lobbyist for Event Costs

Name[s] of Lobbyist Reimbursed by Principal: _____

Reportable Expenditures for Month/Quarter: (Do not reenter details for any previously reported monthly expenses. Previous monthly expenditures can be listed under "This Period's Subtotal" line.)

| Event Date | Name of Event & Description of Expenditure Payee/Beneficiary and Address | Designated Individual or Immediate Family or Third Party Beneficiary | *Expense Code | Total Cost of the Event Paid By Principal |
|------------|--|--|---------------|---|
| | | | | \$0 |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |

If this is a quarterly report and you filed a monthly expense report for the month of October, please enter the subtotal. \$

Quarterly Total Reportable Expenditures: (Must enter total or "0") **\$0**

****2017 Cumulative Combined Lobbyist Payment for Services****

| | |
|---|--|
| <p>Failure to provide payee information will result in rejection of this report.</p> | <p>CUMULATIVE COMBINED 2017 PAYMENT FOR SERVICES – MUST ENTER TOTAL OR 0.00</p> |
| <p>For this registration year, enter the dollar amount of the cumulative combined total payments to all lobbyists named on this quarterly report of the principal and the payees thereof: <u>Kathy G. Hawkins, Kelli H. Kukura, Susan Fetzer Vick, Jaz Tunnell, Mark McIntire, Dana E. Simpson, Tracy W. Kimbrell, Kara Weishaar, Nathan Babcock, Robert W. Kaylor</u></p> | <p>\$1,032,261.44</p> |
| <p>Prior to the end of this fourth quarter of this calendar year, if you previously submitted a <u>separate</u> expense form to report cumulative combined payments to terminated or resigned lobbyists, enter the dollar amount. If not, include the total dollar amount for the 2017 cumulative lobbyist payment for services to all active, resigned or terminated lobbyists in the first and third blocks on this form.</p> | <p>\$</p> |
| <p>Total cumulative combined payment for services for all lobbyists of the principal registered in 2017.</p> | <p>\$1,032,261.44</p> |

PART IV: CERTIFICATION AND NOTARIZATION
IMPORTANT INSTRUCTIONS FOR PRINCIPAL OFFICER AND NOTARY

UNLESS CERTIFYING AN E-MAILED REPORT VIA AFFIDAVIT (SEE WEBSITE FOR NEW SEPARATE FORM PR-AF), ALL BLANKS MUST BE COMPLETED WITH PRINTED NAME OF AUTHORIZED OFFICER AND PRINTED NAME OF PRINCIPAL ENTITY. THE AUTHORIZED OFFICER MUST SIGN AND DATE REPORT TO CERTIFY REPORT IN THIS SECTION. FOR QUARTERLY REPORT UNDER OATH, VENUE (STATE AND COUNTY WHERE NOTARIZED) AND JURAT MUST ALSO BE COMPLETED. SIGNATORY AUTHORIZED OFFICER MUST BE A PERSON OF RECORD WITH THE LOBBYING COMPLIANCE DIVISION FOR REPORTING PURPOSES IN CURRENT YEAR. WARNING: INCOMPLETE CERTIFICATION OR NOTARIZATION MAY RESULT IN REJECTION OF REPORT.

STATE OF NORTH CAROLINA
COUNTY OF WAKE

The undersigned as an authorized officer of the above named principal entity on behalf of the principal entity by its authority first duly given, or on his/her own behalf as an individual principal, being first duly sworn, hereby certifies that the principal has no expenditures pursuant to G.S. § 120C-403 other than payment for services to report for this quarterly period and that all information contained herein (including any attachments hereto) is true, complete and correct to the best of his/her knowledge and belief.

Kathy G. Hawkins
Signature of Authorized Officer

Kathy G. Hawkins
Printed name of Authorized Officer

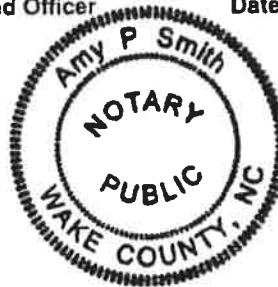
1/22/2018
Date

Sworn to (or affirmed) and subscribed before me,

this 22 day of January, 2018.

Amy P. Smith
Signature of Notary Public

Amy P. Smith
Printed Name of Notary Public



My commission expires: September 7, 2020.

(NOTARY STAMP OR SEAL)

Part V: Report Preparer's Identity/Signature

Printed Full Name of Report Preparer: Ginger Duncan
Signature of Report Preparer: Ginger Duncan

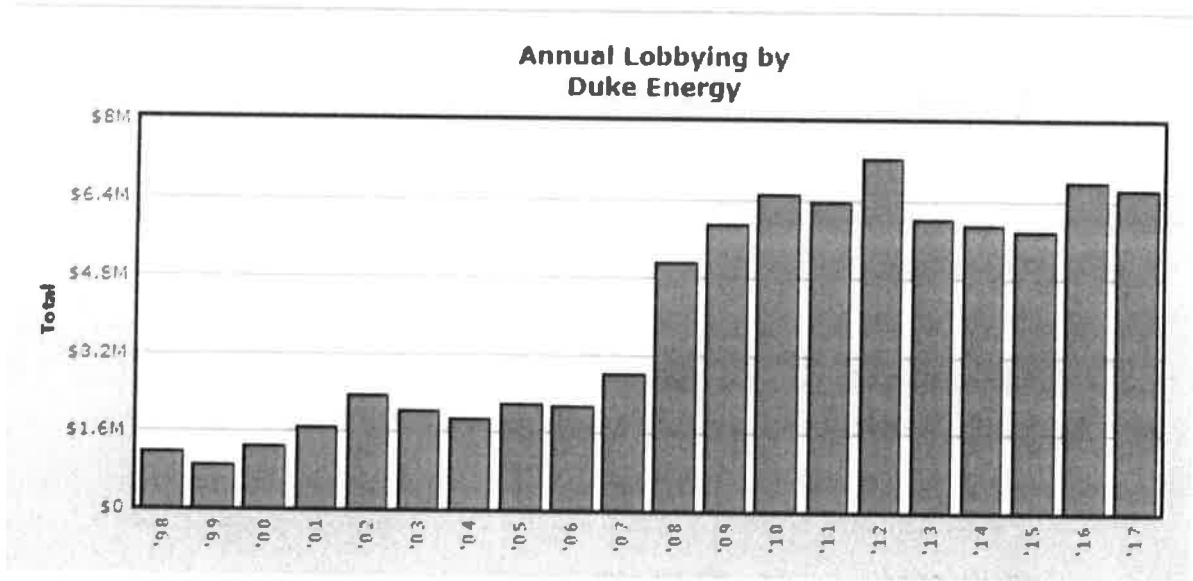
THIS SECTION SHOULD NOT BE COMPLETED UNLESS THE PREPARER OF THE REPORT IS A PERSON OTHER THAN THE SIGNATORY AUTHORIZED OFFICER WHO EXERCISED INDEPENDENT JUDGEMENT OR DISCRETION AS TO THE INFORMATION REPORTED HEREIN. THE SIGNATORY OFFICER'S SIGNATURE IS NOT REQUIRED IN THIS SECTION AND SIGNATURE HERE IS NOT SUFFICIENT TO CERTIFY REPORT UNDER OATH.

FEDERAL LOBBYING EXPENDITURES

CENTER FOR RESPONSIVE POLITICS

<https://www.opensecrets.org/lobby/clientsum.php?id=D000000477>

Principal: Duke Energy Corporation



Total Lobbying Expenditures in 2017 Summary

| Firms Hired | Total Reported by Filer | Reported Contract Expenses (Included in Total Reported by Filer) |
|---|-------------------------|--|
| Duke Energy | \$6,631,595 | -- |
| Duberstein Group | -- | \$400,000 |
| Alpine Group | -- | \$240,000 |
| Bracewell LLP | -- | \$160,000 |
| Hobart Hallaway & Quayle Ventures | -- | \$130,000 |
| Polaris Government Relations | -- | \$130,000 |
| Ernest & Young | -- | \$50,000 |
| Ulman Public Policy & Federal Relations | -- | \$0 |
| | | \$1,110,000 |

Lobbyist representing Duke Energy 2017

Total of number of lobbyists: 31

 Reviewing their profile  Former Congressman

| Lobbying Firm Hired | Amount | Subsidiary (Lobbied For) | Lobbyist |
|---|-------------|--------------------------|--|
| Alpine Group | \$240,000 | Duke Energy | Schendie, Jason  Shaw, Rhod M  |
| Bracewell LLP | \$160,000 | Duke Energy | Beaulieu, Curtis Burhop, Anna Krenik, Edward  Martin, E Dee Segal, Scott H  Wyman, Christine Zive, Joshua  |
| Duberstein Group | \$400,000 | Duke Energy | Bradbury, Anne  Griffin, Brian  Meyer, Daniel  Schiappa, David  Wall, Anne  |
| Duke Energy | \$6,631,595 | Duke Energy | Craig, Thomas Kaveney, Colleen  Natonski, Pepper Renjel, Louis Sewell, Michael  |
| Ernst & Young | \$50,000 | Duke Energy | Giordano, Nick D  Halley, Sean Urban, Tim  |
| Hobart Hallaway & Quayle Ventures | \$130,000 | Duke Energy | Hallaway, Rashid  Hobart, Robert  Quayle, Benjamin   |
| Poiaris Government Relations | \$130,000 | Duke Energy | Cunningham, Bryan  Gans, Daniel  Gans, Jon  |
| Ulman Public Policy & Federal Relations | \$0 | Duke Energy | Ortega, Jennifer  Thomson, Basil Ulman, Josh |

Issues, 2017

| Issue | Specific Issues | No. of Reports* |
|------------------------------|------------------------|------------------------|
| Taxes | 13 | 19 |
| Energy & Nuclear Power | 7 | 14 |
| Environment & Superfund | 7 | 11 |
| Fed Budget & Appropriations | 8 | 8 |
| Utilities | 3 | 8 |
| Labor, Antitrust & Workplace | 6 | 6 |
| Trade | 3 | 5 |
| Clean Air & Water | 1 | 4 |
| Health Issues | 1 | 4 |
| Homeland Security | 3 | 4 |
| Finance | 1 | 4 |
| Foreign Relations | 1 | 3 |

I/A

NC WARN Fountain CROSS-EXAMINATION EXH. 4

CONTRIBUTIONS TO NC LEGISLATORS

NC BOARD OF ELECTIONS

<http://cf.ncsbe.gov/CFOrgLkup/DocumentGeneralResult/?SID=FED-7XS493-C-001&OGID=5554>

Principal: Duke Energy

DUKE ENERGY CORP PAC [FED-7XS493-C-001]

2016 Duke Energy Corporation NC PAC Contributions

| | |
|----------------|-----------|
| First Quarter | \$221,500 |
| Second Quarter | \$9,100 |
| Third Quarter | \$219,800 |
| Fourth Quarter | \$10,200 |
| Total | \$460,600 |

Watchdog report highlights huge Duke Energy contributions to GOP guys

Posted By *Rob Schofield* On April 13, 2015 @ 8:54 am In News | [Comments Disabled](#)

The good people at [Democracy NC](#) ^[1] released the following this morning:

Duke Energy Gives \$3 Million to Committee Tied to Gov. Pat McCrory as He Guides Coal Ash Response

A new analysis of government records reveals that Duke Energy – the world’s largest private electric utility – began writing unusually large checks to the national Republican Governors Association while Gov. Pat McCrory and Republican lawmakers debated how to respond to the company’s giant spill of coal ash sludge into the Dan River.

In four payments from June to December 2014, Duke sent the Republican Governors Association a total of \$3,050,000 – more than 10 times its previous record donation to the RGA. Duke’s contributions made it the top corporate donor to the RGA in 2014 and the second largest donor, behind the \$3.5 million given by billionaire Sheldon Adelson, owner of the Las Vegas Sands.

In 2012, the RGA spent \$5 million to boost the election of Pat McCrory as governor, and it is expected to be a major financial backer of his 2016 bid for reelection. Records show McCrory has attended numerous RGA events and helped the association raise funds.

“Duke Energy’s large donations raise questions about the governor’s ability to serve the public interest more than his own political interest,” said Bob Hall, executive director of the nonpartisan watchdog group Democracy North Carolina. “Critics say the coal ash regulation law passed in 2014 was too soft on Duke. Is this money the reason why?”

RGA’s website says its “primary mission is to help elect Republican governorships throughout the nation.” As a “527 political organization,” it can receive and spend unlimited donations from corporate and other donors to elect candidates, without directly coordinating with the candidate.

The organization files relatively obscure reports with the Internal Revenue Service. Democracy North Carolina’s analysis shows that Duke Energy and Progress Energy gave RGA a total of only \$40,000 in the five years from Jan. 1, 2003 to Dec. 31, 2007, an average of \$8,000 a year.

In January 2008, Pat McCrory, a long-time Duke Energy executive and former Charlotte mayor, announced his campaign for governor. Within weeks, Duke and Progress Energy began sending checks of \$10,000 or more to the RGA, according to the IRS disclosure reports.

In October 2008, candidate McCrory hosted a fundraiser for the RGA in Charlotte. As the invites circulated, Duke Energy stepped up with a gift of \$100,000 – its first six-figure RGA donation. (See the event invitation at: <http://www.scribd.com/doc/240852146/101308-Event-Invite>).

Duke and Progress Energy gave a total of \$155,000 during 2008 – or 10 times their previous record of \$15,000 in 2007. The two companies, now merged, increased their giving after 2008, reaching a high of \$275,000 in 2013 before the new high of \$3,050,000 in 2014.

The companies also increased their donations to other 527 partisan committees. Duke Energy gave \$200,000 to the Democratic Governors Association in 2012 and another \$200,000 in 2014. Progress Energy donated \$200,000 to the DGA in 2013.

Duke also donated a total of \$235,000 during 2012-2014 to the Republican State Leadership Committee, which its website says promotes “the election of state Republican candidates.”

Hall pointed out that Duke may be donating significant amounts of money to other electioneering committees that do not file disclosure reports – including Renew North Carolina, a nonprofit set up by Pat McCrory’s supporters to help his political career, and NC House Legislative Partners, which supports Republican General Assembly candidates.

“The public has a right to know who is donating to our lawmakers and their reelection efforts, directly and through shadow committees,” Hall said. “Duke Energy should lead the way by voluntarily disclosing its contributions to these committees.”

* * * * *

Here are the donations from Duke and Progress Energy and to the Republican Governors Association disclosed (form 8872) at: <http://forms.irs.gov/app/pod/basicSearch/search?execution=e1s2>

DONATIONS TO REPUBLICAN GOVERNORS ASSOCIATION

Duke Energy 12/12/2014 \$ 275,000

Duke Energy 10/21/2014 \$ 2,000,000

Duke Energy 09/30/2014 \$ 500,000

Duke Energy 06/17/2014 \$ 275,000 2014 Total \$3,050,000

Progress Energy 09/17/2013 \$ 175,000

Progress Energy 04/24/2013 \$ 100,000 2013 Total \$ 275,000

Duke Energy 11/09/2012 \$ 900

Duke Energy 11/02/2012 \$ 450

Duke Energy 06/22/2012 \$ 175,000

Progress Energy 05/22/2012 \$ 25,000 2012 Total \$ 201,350

Duke Energy 12/28/2011 \$ 25,000

Duke Energy 11/16/2011 \$ 450

Progress Energy 11/16/2011 \$ 25,000

Progress Energy 10/25/2011 (\$ 15,000)

Progress Energy 09/26/2011 \$ 15,000

Progress Energy 09/08/2011 \$ 15,000

Duke Energy 06/13/2011 \$ 75,000

Duke Energy 06/13/2011 \$ 25,000

Progress Energy 02/15/2011 \$ 10,000 2011 Total \$ 175,450

Duke Energy 09/29/2010 \$ 50,000

Duke Energy 09/16/2010 \$ 50,000

Duke Energy 04/12/2010 \$ 25,000

Duke Energy 02/25/2010 \$ 25,000 2010 Total \$ 150,000

Duke Energy 12/14/2009 \$ 25,000

Duke Energy 05/05/2009 \$ 15,000

Duke Energy 03/16/2009 \$ 50,000

Progress Energy 01/27/2009 \$ 10,000 2009 Total \$ 100,000

Duke Energy 09/09/2008 \$ 100,000

Progress Energy 08/27/2008 \$ 20,000

Duke Energy 03/06/2008 \$ 25,000

Progress Energy 01/29/2008 \$ 10,000 2008 Total \$ 155,000

Duke Energy 06/19/2007 \$ 5,000

Progress Energy 01/30/2007 \$ 10,000 2007 Total \$ 15,000

Progress Energy 03/16/2006 \$ 10,000 2006 Total \$ 10,000

No related posts.

Article printed from The Progressive Pulse: <http://pulse.ncpolicywatch.org>

URL to article: <http://pulse.ncpolicywatch.org/2015/04/13/watchdog-report-highlights-huge-duke-energy-contributions-to-gop-guvs/>

URLs in this post:

[1] Democracy NC: <http://democracy-nc.org/>

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NC WARN Fountain
CROSS-EXAMINATION
EXH. 6

Home › Campaign finance data › Committee profiles › DUKE ENERGY CORPORATION PAC

DUKE ENERGY CORPORATION PAC

PAC - QUALIFIED - LOBBYIST/REGISTRANT PAC

ID: C00083535

Financial summary

TWO-YEAR PERIOD

2015-2016

Total raised[Browse receipts](#)

Coverage dates: 01/01/2015 to 12/31/2016

| | |
|---|--------------------------|
| TOTAL RECEIPTS | \$1,771,181.17 |
| TOTAL CONTRIBUTIONS | \$1,757,706.15 |
| Total individual contributions | \$1,757,706.15 |
| <i>Itemized individual contributions</i> | <u>\$1,082,267.75</u> |
| <i>Unitemized individual contributions</i> | <u>\$675,438.40</u> |
| Party committee contributions | <u>\$0.00</u> |
| Other committee contributions | <u>\$0.00</u> |
| TRANSFERS FROM AFFILIATED COMMITTEES | <u>\$0.00</u> |
| ALL LOANS RECEIVED | <u>\$0.00</u> |
| LOAN REPAYMENTS RECEIVED | <u>\$0.00</u> |
| OFFSETS TO OPERATING EXPENDITURES | <u>\$0.00</u> |
| CANDIDATE REFUNDS | <u>\$4,700.00</u> |
| OTHER RECEIPTS | <u>\$8,775.02</u> |
| TOTAL TRANSFERS | \$0.00 |
| Non-federal transfers | \$0.00 |
| Levin funds | \$0.00 |
| TOTAL FEDERAL RECEIPTS | \$1,771,181.17 |

Total spent

| |
|--------------------------------------|
| Browse disbursements |
|--------------------------------------|

| |
|--|
| Coverage dates: 01/01/2015 to 12/31/2016 |
|--|

| | |
|---|------------------------------|
| TOTAL DISBURSEMENTS | \$2,076,742.00 |
| OPERATING EXPENDITURES | NONE |
| Allocated operating expenditures - federal | \$0.00 |
| Allocated operating expenditures - non-federal | \$0.00 |
| Other federal operating expenditures | <u>\$1,742.00</u> |
| TRANSFERS TO AFFILIATED COMMITTEES | <u>\$0.00</u> |
| CONTRIBUTIONS TO OTHER COMMITTEES | <u>\$1,063,200.00</u> |
| INDEPENDENT EXPENDITURES | <u>\$0.00</u> |
| COORDINATED PARTY EXPENDITURES | <u>\$0.00</u> |
| LOANS MADE | <u>\$0.00</u> |
| LOAN REPAYMENTS MADE | <u>\$0.00</u> |
| TOTAL CONTRIBUTION REFUNDS | <u>\$0.00</u> |
| Individual refunds | <u>\$0.00</u> |
| Political party refunds | <u>\$0.00</u> |
| Other committee refunds | <u>\$0.00</u> |
| OTHER DISBURSEMENTS | <u>\$1,011,800.00</u> |
| TOTAL FEDERAL ELECTION ACTIVITY | \$0.00 |
| Allocated federal election activity - federal share | \$0.00 |
| Allocated federal election activity - Levin share | \$0.00 |
| Federal election activity - federal only | \$0.00 |
| TOTAL FEDERAL DISBURSEMENTS | NONE |

Cash summary

Coverage dates: 01/01/2015 to 12/31/2016

| | |
|--------------------------------------|-----------------------|
| BEGINNING CASH ON HAND | \$1,050,508.15 |
| ENDING CASH ON HAND | \$744,947.32 |
| DEBTS/LOANS OWED TO COMMITTEE | \$0.00 |
| DEBTS/LOANS OWED BY COMMITTEE | \$0.00 |

14/29/18

I/A

NC WARN Fountain
CROSS-EXAMINATION
EXH. 1

Home › Campaign finance data › Committee profiles › DUKE ENERGY CORPORATION PAC

DUKE ENERGY CORPORATION PAC

PAC - QUALIFIED - LOBBYIST/REGISTRANT PAC

ID: C00083535

Financial summary

TWO-YEAR PERIOD

2017-2018

Total raised[Browse receipts](#)

Coverage dates: 01/01/2017 to 01/31/2018

| | |
|---|--------------------------|
| TOTAL RECEIPTS | \$943,433.25 |
| TOTAL CONTRIBUTIONS | \$932,968.59 |
| Total individual contributions | \$932,968.59 |
| <i>Itemized individual contributions</i> | <u>\$569,634.88</u> |
| <i>Unitemized individual contributions</i> | \$363,333.71 |
| Party committee contributions | <u>\$0.00</u> |
| Other committee contributions | <u>\$0.00</u> |
| TRANSFERS FROM AFFILIATED COMMITTEES | <u>\$1,590.42</u> |
| ALL LOANS RECEIVED | <u>\$0.00</u> |
| LOAN REPAYMENTS RECEIVED | <u>\$0.00</u> |
| OFFSETS TO OPERATING EXPENDITURES | <u>\$0.00</u> |
| CANDIDATE REFUNDS | <u>\$4,000.00</u> |
| OTHER RECEIPTS | <u>\$4,874.24</u> |
| TOTAL TRANSFERS | \$0.00 |
| Non-federal transfers | \$0.00 |
| Levin funds | \$0.00 |
| TOTAL FEDERAL RECEIPTS | \$943,433.25 |

Total spent

[Browse disbursements](#)
[Coverage dates: 01/01/2017 to 01/31/2018](#)

| | |
|---|---------------------|
| TOTAL DISBURSEMENTS | \$770,506.00 |
| OPERATING EXPENDITURES | NONE |
| Allocated operating expenditures - federal | \$0.00 |
| Allocated operating expenditures - non-federal | \$0.00 |
| Other federal operating expenditures | \$596.00 |
| TRANSFERS TO AFFILIATED COMMITTEES | \$0.00 |
| CONTRIBUTIONS TO OTHER COMMITTEES | \$540,000.00 |
| INDEPENDENT EXPENDITURES | \$0.00 |
| COORDINATED PARTY EXPENDITURES | \$0.00 |
| LOANS MADE | \$0.00 |
| LOAN REPAYMENTS MADE | \$0.00 |
| TOTAL CONTRIBUTION REFUNDS | \$0.00 |
| Individual refunds | \$0.00 |
| Political party refunds | \$0.00 |
| Other committee refunds | \$0.00 |
| OTHER DISBURSEMENTS | \$229,910.00 |
| TOTAL FEDERAL ELECTION ACTIVITY | \$0.00 |
| Allocated federal election activity - federal share | \$0.00 |
| Allocated federal election activity - Levin share | \$0.00 |
| Federal election activity - federal only | \$0.00 |
| TOTAL FEDERAL DISBURSEMENTS | NONE |

Cash summary

Coverage dates: 01/01/2017 to 01/31/2018

| | |
|--------------------------------------|---------------------|
| BEGINNING CASH ON HAND | \$744,947.32 |
| ENDING CASH ON HAND | \$917,874.57 |
| DEBTS/LOANS OWED TO COMMITTEE | \$0.00 |
| DEBTS/LOANS OWED BY COMMITTEE | \$0.00 |

HA

REDBOOK Ad Spend (U.S. Media Only)
www.redbooks.com

NC WARN Fountain Cross Exh 8

ANNUAL MEASURED U.S. MEDIA SPEND

Powered By **KANTAR**

DUKE ENERGY CORP - MEDIA SPEND BY CATEGORY VIEW QUARTERLY DATA

| CATEGORY | 03 2017 | 02 2017 | 01 2017 | CY 2016 | CY 2015 | CY 2014 | CY 2013 | Y/Y GROWTH | MEDIA SPEND BY CATEGORY GRAPH |
|-------------------------|-------------|-------------|-----------|-------------|--------------|-------------|-------------|------------|-------------------------------|
| Spot TV | \$1,463,520 | \$1,222,967 | \$611,156 | \$3,762,310 | \$5,465,676 | \$2,309,721 | \$4,569,254 | -31.1% | |
| Natl Spot Radio | 409,776 | 209,755 | 140,526 | 984,245 | 1,293,940 | 1,676,618 | 694,206 | -23.8% | |
| Outdoor | 319,544 | 52,116 | 0 | 13,746 | 58,267 | 0 | 0 | -76.3% | |
| Newspapers | 297,319 | 566,997 | 40,265 | 1,818,138 | 2,552,126 | 2,043,500 | 3,842,877 | -28.7% | |
| US Internet - Search | 32,496 | 7,754 | 30,537 | 36,024 | 17,150 | 23,807 | 101,856 | 110.1% | |
| B-to-B Magazines | 24,402 | 21,053 | 41,029 | 99,110 | 73,594 | 141,062 | 40,310 | 34.7% | |
| US Online Video | 8,129 | 56 | 41 | 237,921 | 344 | 0 | 0 | N/A | |
| US Internet - Display | 4,812 | 5,575 | 38,934 | 33,316 | 218,100 | 71,336 | 191,419 | -84.6% | |
| Mobile Internet | 1,487 | 1,281 | 3,999 | 839,848 | 0 | 0 | 0 | N/A | |
| Natl Newspapers | 0 | 0 | 0 | 0 | 435,890 | 0 | 476,996 | N/A | |
| Total Advertising Spend | \$2,561,485 | \$2,087,554 | \$906,487 | \$7,824,658 | \$10,115,087 | \$6,266,044 | \$9,916,918 | 22.5% | |

NC WARN Fountain CROSS-EXAMINATION EXH. 9

CONTRIBUTIONS THROUGH SETTLEMENT AGREEMENTS

Principal: Duke Energy

| Case | Docket | Date | Amount | Purpose |
|--|---|------|---------------------|--|
| Duke Energy Carolinas and Progress Energy Merger | E-2 Sub 998 E-7 Sub 986 | 2012 | \$17 million | Low income energy assistance, community college Grant Fund for workforce development, NC Green Power |
| Duke Energy Carolinas Rate Case | E-7 Sub 1026 | 2013 | \$10 million | Provide assistance to low-income customers |
| Coal Ash | | 2015 | \$7 million to DEQ | Current, prior, and future claims related to exceedances of ground water standards associated with coal ash facilities |
| Duke-Piedmont Merger | E-2 Sub 1098 E-7 Sub 1100 G-9 Sub 682 | 2016 | \$25 million | Charitable contributions, community support, workforce development, and low income energy assistance |
| Average per year | | | \$10 million | |

| | | | | |
|-------------------------------|----|------|--|--------------------------|
| Atlantic Coast Pipeline in NC | -- | 2018 | \$57.8 million (\$28.9 million) ¹ about 50% | Education |
| Atlantic Coast Pipeline in VA | -- | 2018 | \$57.85 million (\$28.9 million) about 50% | Forestry Mitigation Fund |
| In 2018 | | | Over \$115 million (\$57.8 million) | |

¹ Duke Energy's customers will pay 59% of the cost for the Atlantic Coast Pipeline, including profits, which will all go to Atlantic Coast Pipeline, LLC. Duke Energy has a 47% ownership interest and will receive 47% of the profits.

I/A

COMMUNITY RELATIONS

<https://www.duke-energy.com/partner%20with%20us/city%20county%20local%20government#tab-4b6d6605-93f1-4cc1-97d8-ae455bfe0788>

DUKE ENERGY

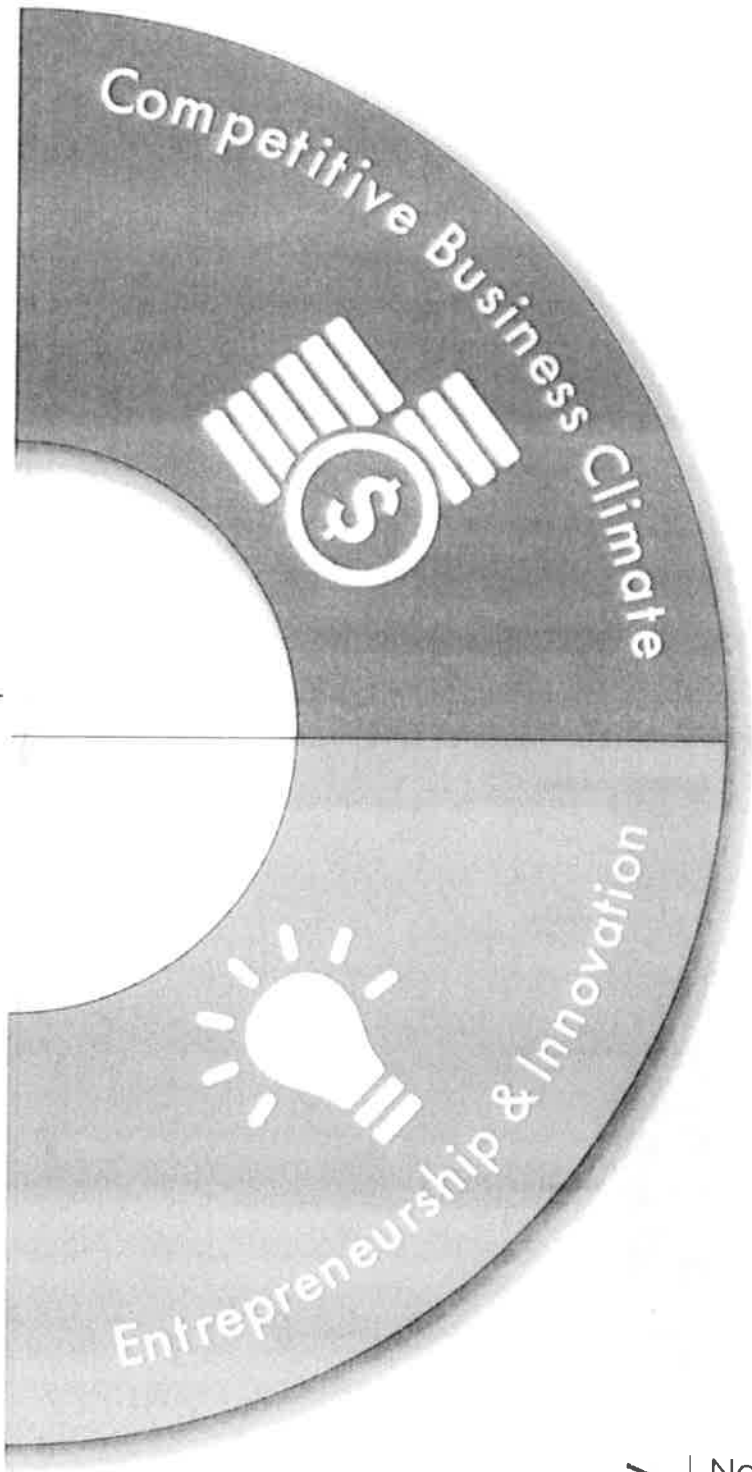
DUKE ENERGY PROGRESS

| DISTRICT MANAGER | COUNTIES SERVED |
|---|---|
| Millie Chalk | Onslow, Jones, Pitt, Carteret, Duplin, Wayne, Lenoir, Craven, Pamlico, Beaufort, Greene |
| Marty Clayton | Wake, Johnston, Harnett |
| John Elliott | New Hanover, Brunswick, Sampson, Columbus, Bladen, Pender |
| Tanya Evans (includes counties served by Duke Energy Carolinas) | Vance, Granville, Person, Caswell, Franklin, Warren, Halifax, Nash, Edgecombe, Wilson |
| Indira Everett (includes counties served by Duke Energy Carolinas) | Durham, Lee, Orange, Chatham |
| David McNeil | Anson, Cumberland, Moore, Montgomery, Richmond, Hoke, Robeson, Scotland |

DUKE ENERGY CAROLINAS

| DISTRICT MANAGER | COUNTIES SERVED |
|-------------------------|--|
| Craig DeBrew | Cleveland, Henderson, Polk, Rutherford, Transylvania |
| Jimmy Flythe | Forsyth, Stokes, Surry, Wilkes, Yadkin |
| Martha Thompson | Gaston, Lincoln, Mecklenburg |
| Lisa Leatherman | Clay, Cherokee, Graham, Jackson, Macon, Swain |
| Davis Montgomery | Alamance, Guilford, Randolph, Rockingham |
| Robin Nicholson | Alexander, Burke, Caldwell, Catawba, McDowell |
| Jason Walls | Buncombe, Haywood, Madison, Yancey, Mitchell, Avery |
| Randy Welch | Davie, Davidson, Cabarrus, Iredell, Rowan, Stanly, Union |

Duke Energy's Local Government & Community Relations Team: 14 District Managers, and other staff members in 83 counties in NC.



nc > North Carolina
Chamber
Foundation

HONOR ROLL OF INVESTORS

Founder Division Investors



Platinum Division Investors

ACHIEVE
 Achieve, Inc./Heldrey Foundation
 Martin Marietta
 Red Hat, Inc.

Gold Division Investors

ACHIEVE
 Blue Cross Blue Shield of North Carolina
 First Citizens Bank
 GlaxoSmithKline
 Sunovion
 Medical Mutual Insurance Company of NC
 PNC Financial Services Group
 Rockefeller Philanthropy Advisors
 Stephen Zelnick Jr.
 C. Temple Sloan, Jr./Trell Creek Investments
 Vicent Health

Silver Division Investors

ACHIEVE
 Alex Lee, Inc.
 The Biltmore Company
 Biogen
 Citco Systems
 The Hunt Institute
 The Roberts Company
 Vulcan Materials Company

Bronze Division Investors

ACHIEVE
 Bonhardt Foundation
 Bristol Companies
 Coastal AgroBusiness
 Columbia Forest Products
 Cook Medical Inc.
 DuPont Electronics & Communications
 Fifth Third Bank
 Grady-White Boats, Inc.
 Hanesbrands, Inc.
 Investors Management Corporation/Golden Corral Corporation
 McKim & Creed, Inc.
 Mechanic and Farmer Bank
 Mount Olive Flocke Company, Inc.
 National Spinning Co., Inc.
 PNC Energy
 REI Healthcare
 RSM US LLP
 SEB Engineering & Construction
 Smith, Anderson, Deunt, Eversett, Mitchell & Jernigan, LLP
 Steel Fab, Inc. (Charlotte & Raleigh)
 SunTrust Bank
 Time Warner Cable
 U.S. Chamber of Commerce Foundation
 Verizon

North Carolina Chamber Foundation 2016 Board of Directors



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Ricky Brown
 President, Community Banking, President, BB&T



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David Fountain
 North Carolina President, Duke Energy



Jim Hansen
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Tom Helks
 President and CEO, North Carolina Fifth Third Bank



Anne Lloyd
 EVP and CFO, Martin Marietta



Frank Holding
 Chairman and CEO, First Citizens Bank



Dale Jenkins
 Chief Executive Officer, The Medical Mutual Insurance
 Company of NC



Brad Wilson
 President and CEO, Blue Cross and Blue Shield of
 North Carolina



Jim Whitehurst
 President and CEO, Red Hat, Inc.

Spreading Economic Opportunity Across North Carolina

While North Carolina's overall economy has sustained strong growth trends in recent years, a number of communities, particularly in rural areas, continue to lag behind the rest of the state in economic growth. Recognizing the problem, in early 2016 the North Carolina Chamber Foundation began to expand on previous research to take a detailed look at the growth challenges facing our state's communities and recommend proactive solutions for North Carolina's leaders to consider in working together to address them. The research included a six-stop listening tour to communities across the state to learn more about their perspectives, opportunities and challenges.

Spreading Economic Opportunity Listening Tour



The result of this research is a comprehensive report, *Spreading Economic Opportunity Across North Carolina*, which offers a number of recommendations focused around the four "Pillars of a Secure Future" contained in *North Carolina Vision 2030*. Emphasizing forward-thinking initiative and mutual collaboration, the recommendations include proposals that are intended to inform an ongoing policy discussion aimed at spreading continued economic growth across all North Carolina communities.

Some of those discussions informed our advocacy priorities this year. The North Carolina Chamber advocated for NC PACES, which established clear and transparent guidelines to enable new models for crowdfunding investments in North Carolina. Crowdfunding serves not only to open up new investment opportunities for individuals who typically do not have access to professional investment services (namely, middle-class North Carolinians), it will also directly stimulate growth in locally owned businesses and start-up companies across North Carolina.

Due to their relative distance from economic hubs, rural North Carolina communities sometimes have difficulty attracting large-scale projects even as their unique circumstances can sometimes make for the perfect fit. However, when local government units cooperate toward shared, mutually beneficial economic development goals, resulting economies of scale can allow them to attract larger development projects. In 2016, therefore, the NC Chamber worked to address the unique development challenges of rural communities by supporting measures ultimately secured in the 2016 budget of the NC General Assembly, to enable new models for interlocal cooperation toward Job Development Investment Grant investments. This measure will strengthen an already robust JDIG program to encourage the continued spread of new economic opportunities across all North Carolina communities.

Scaling Successful Apprenticeship Programs to Close the Skills Gap

This year, the North Carolina Foundation team has traveled the state and region learning about successful apprenticeship programs spanning a variety of industries. In 2017, the North Carolina Chamber Foundation will look to develop an advisory board of companies to provide a forum for the exchange of information, ultimately designed to create a backbone on which to build long-term goals and scale one-off efforts. Facilitating a successful apprenticeship program model that can be sustained across North Carolina's diverse industry base will be a valuable tool in closing the skills gap.

Keeping Score

When we launched a long-term vision for our state, we promised to keep score and provide an honest picture of where North Carolina stands as it relates to the "Pillars of a Secure Future". NC Dashboard 2030 continues to be available online with real-time measurement of progress on key metrics of success in North Carolina. Powered by RTI International, Dashboard 2030 is keeping score and providing transparency to our state's leaders for consistent progress and continuous improvement in North Carolina.

At the end of 2014, we launched the Competitiveness Redbook and again this year, for the third time, we are releasing this index. As with Dashboard 2030, integral to the success of the statewide business community's long-term vision is measurement along the way. The Competitiveness Redbook provides readers with a data-driven guide to North Carolina's economic health by comparing the state to the rest of the country in a variety of key indicators.

Convening Leaders at the Future of North Carolina Forum

In order to expand the reach of North Carolina Vision 2030, four years ago the NC Chamber Foundation launched the Future of North Carolina Forum. The Future Forum is an exclusive, invitation-only event for c-level executives that is designed to help find ways to use their collective influence to shape our future by leading on a number of initiatives critical to our state's prosperity.

The 2016 event again boasted a terrific lineup of speakers including Jim Whitehurst, president and CEO of Red Hat; Ward Nye, chairman of the board, president and CEO of Martin Marietta; Dr. Randy Woodson, chancellor of NC State University; Dr. James "Jimmie" Williamson, President of the NC Community College System and Chuck Howard, CEO of Autobell Car Wash, Inc.



Looking to 2017

As the North Carolina Chamber Foundation moves into the coming year, many of these efforts will continue to be a priority. In addition, new issues will begin to emerge as the Foundation works to realize the goals outlined in *North Carolina Vision 2030*. As our state's population continues to grow quickly, it will be vital to have a plan for both water and solid waste. While both impact our state's future significantly, they are two very unique issues that require a detailed strategic analysis. The North Carolina Chamber Foundation will look to commission studies on each of those issues.

Closing the skills gap continues to be a priority for the business community and the North Carolina Chamber Foundation is looking to better measure the gap so that potential solutions can be best aligned with the problem.

Finally, to continue to position itself as a future-thinking organization, the North Carolina Chamber Foundation will work with economists to release proprietary indexes on key sectors of North Carolina's economy.

Developing a Health Care Strategy Roadmap

While health care is a top concern for the business community, according to the North Carolina Chamber's annual CEO Poll, it is an issue that employers feel they have the least control over. This year the North Carolina Chamber Foundation began working to change that perception, commissioning The Berfield Group, a national health care research firm, to analyze the current health care challenges facing North Carolina. The result of this research has been the creation of a roadmap that can lead to real, actionable solutions — our *Roadmap for Value-Driven Health*.

This roadmap highlights three key takeaways for the state's business and health care communities: first, the current climate of fragmented care and accountability is simply unacceptable, second, it will take engagement and collaboration between all stakeholders along the health care supply chain, the business community included, to achieve comprehensive health care reform solutions, and third, as the number one purchaser of health care coverage, both in our state and across our nation, employers have an essential role to play in driving this discussion.

The North Carolina Chamber Foundation has used the initial roadmap to set a goal for our state to be a top 10 state in health value. While clearly defining value is part of this effort, as a reference point for where we need to go, North Carolina was ranked 31st in the United Health Foundation's *America's Health Rankings 2015*. In the coming year, the Foundation will begin to tackle these five strategies to pursue this change:

1. Place the Central Focus on Improving Quality and Value

Any successful health care initiative must start with a foundation that places a central focus on improving trust, quality and value in health care delivery, coverage and financing. Health care depends on an intricate chain of stakeholders, suppliers and customers working together. While employers are the "local company" in this chain, responsible for choosing and funding most of the health benefits available to their employees, each and every stakeholder along the supply chain — again, business included — will need to have skin in the game and work together with a common purpose in order to achieve dramatic change.

Important principles for building value-focused collaboration include: achieving consensus on what "value" is; focusing on high-priority opportunities to improve value; identifying and engaging stakeholders who will be essential value creators; managing priority customer and supplier relationships; and leveraging success to expand and extend collaboration to other priority opportunities. Just as important is measuring value. Moving toward success on health care value will begin to yield better outcomes for the same costs, the same outcomes for lower costs, or, our ultimate goal — better outcomes at lower costs.

2. Build a Complete "Bridge" to Health Care Value

Virtually all medium and large-sized communities across the United States are impacted in some way by a health care value gap. But in many of these places, at least one organization — perhaps a hospital, large medical group, a major employer, or a health plan — is attempting to bridge these gaps. And the study shows, some of them are already achieving success. Therefore, North Carolina must act now to build a complete "bridge" to health care value before our state is left behind by the competition — which is other states vying with us for new growth.

3. Think Big, But Start Small

The health care supply chain is a complex collection of moving parts. To change it in any meaningful way is most certainly to think big. But the North Carolina Chamber Foundation, and North Carolina's business community, will have to start small to actually realize that change as pragmatically as possible. The initiatives should pursue an ambitious vision but take a practical approach to implementation. Success will not be achieved overnight. But as stakeholders become engaged and decide to devote the financial and personnel resources needed to effectively manage new initiatives, such an approach will allow us to make use of the virtuous cycle as we build on early achievements and, ultimately, reach exponentially higher thresholds of success for our health care system.

4. Pursue Real "Win/Win" Partnerships with Other Stakeholders

One challenge — which is not necessarily unique to North Carolina but must be overcome — is that health care stakeholders have not always seen themselves as part of a supply chain. Relationships among them are often viewed with a zero-sum mentality in which one party's gains come at another's expense.

To overcome this mentality, employers must pursue real "win/win" partnerships with other stakeholders, as well as promote "win/win" interactions among the other parties along the supply chain. The study draws on a number of examples where these types of mutually beneficial relationships have been successfully implemented. Employers, providers, and other stakeholders involved in these interactions have applied the same concepts of supply chain management that have created so much value in other industries. Borrowing this lesson in successful supply chain management from more efficient industries, like automotive manufacturing, and applying it to help North Carolina implement more effective, collaborative solutions for the health care industry, should absolutely be a guiding principle in this discussion.

5. Engage Strong Leaders to Drive the Initiative

To pursue something as ambitious as comprehensive health care reform would be foolish without the guidance of strong leaders. Fortunately for us, North Carolina has no shortage of these resources. Our state is home to an innovation hub, Research Triangle Park, which is second only to Silicon Valley as an incubator for new ideas and novel initiatives. Our large, thriving cities, innovative companies and world-class public and private universities are all breeding grounds for strong, forward-thinking leadership.

Letter from President



Since the launch of *North Carolina Vision 2030* in 2013, the NC Chamber Foundation has been leading initiatives to provide solutions-oriented policy recommendations and to track North Carolina's progress on the four "Pillars of a Secure Future" — **Education and Talent Supply, Competitive Business Climate, Entrepreneurship and Innovation, and Infrastructure and Growth Leadership.**

At the start of 2016, the North Carolina Chamber Foundation brought on its first full-time employee in Cassi Zumbiel, MPA. As policy development manager, Cassi has led the charge on one of our major initiatives, the *Health Care Strategy Roadmap*, with the goal of making North Carolina a top-ten state for health value. In addition, she has traveled the state working to assemble a strategy for our Foundation to lead on apprenticeship programs. Much of the work she is doing will be a focal point for the NC Chamber Foundation in the coming year.

In addition to our many avenues of policy research, a main focus of 2016 has been educating and aligning local chambers of commerce behind *North Carolina Vision 2030*. To date, 12 local chambers of commerce have actively endorsed the vision and our team continues to visit local chambers across the state presenting them with the opportunity.

This has been a busy year for the North Carolina Chamber Foundation as we study, evaluate and recommend solutions on many of the most pressing challenges employers face today. The success of our foundation is dependent entirely upon the involvement, guidance and investment of companies and organizations across the state. For this reason, two main areas of focus for the Foundation — improving health care value and closing the skills gap — are directed toward addressing two of the biggest challenges facing the business community, rising health care costs and the current shortage of workers with 21st century job skills. We look forward to building on our momentum and working together to secure North Carolina's future.

Sincerely,

Jamie T. Simpson, CAE
President
North Carolina Chamber Foundation

Signaling Communities Across the State Are Open for Business

For communities across North Carolina, attracting, training and retaining workforce is a top concern. North Carolina's job creators continue to face a significant disconnect between their talent needs and the real-life skillsets possessed by graduates. Both specific skill shortages and soft skill barriers are constant themes of the discussion. Even as unemployment numbers improve, employers across the state continue to struggle filling open positions with qualified talent.

NCWorks Certified Work Ready Communities (CWRC) launched in response to this growing skills gap. In 2011, the NC Eastern Region, now the NCEast Alliance, began a pilot program to certify counties as NC Work Ready. That program now serves as the model for the statewide NCWorks Certified Work Ready Communities initiative.

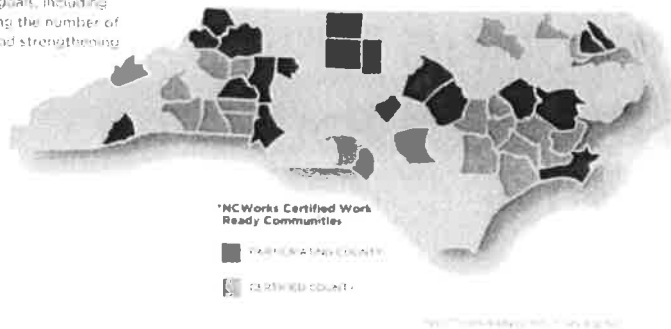
Scaling the NCEast Alliance program is a collaborative effort, including the North Carolina Chamber Foundation, the Office of the Governor, the North Carolina Department of Commerce, the North Carolina Department of Public Instruction and the North Carolina Community College System. The NC Chamber Foundation serves as the final certifying body to designate a county NCWorks Certified Work Ready.

With local collaboration and an engaged business community, NCWorks CWRC is expanding quickly, with employers, job-seekers and economic developers alike seeing great returns. Counties applying for certification form a similar collaborative partnership with local chambers of commerce, local workforce development boards, public schools, community colleges and business leaders. Together they create the framework for achieving certification goals, including improving high school graduation rates, increasing the number of National Career Readiness Certificates (NCRC) and strengthening employer engagement.



Based on ACT's WorkKeys system, the NCRC assesses job-seekers' foundational skills to ensure they are ready to work in today's technology-driven environment. Making sure workers have the correct job-specific, foundational skills gives employers confidence that job applicants are prepared for on-the-job training and higher-level skill development. Companies that make the effort to develop WorkKeys Job Profiles are the best positioned to find the right job applicant that possesses a NCRC. NCWorks Certified Work Ready Communities is closing the skills gap via stackable, industry-recognized credentials.

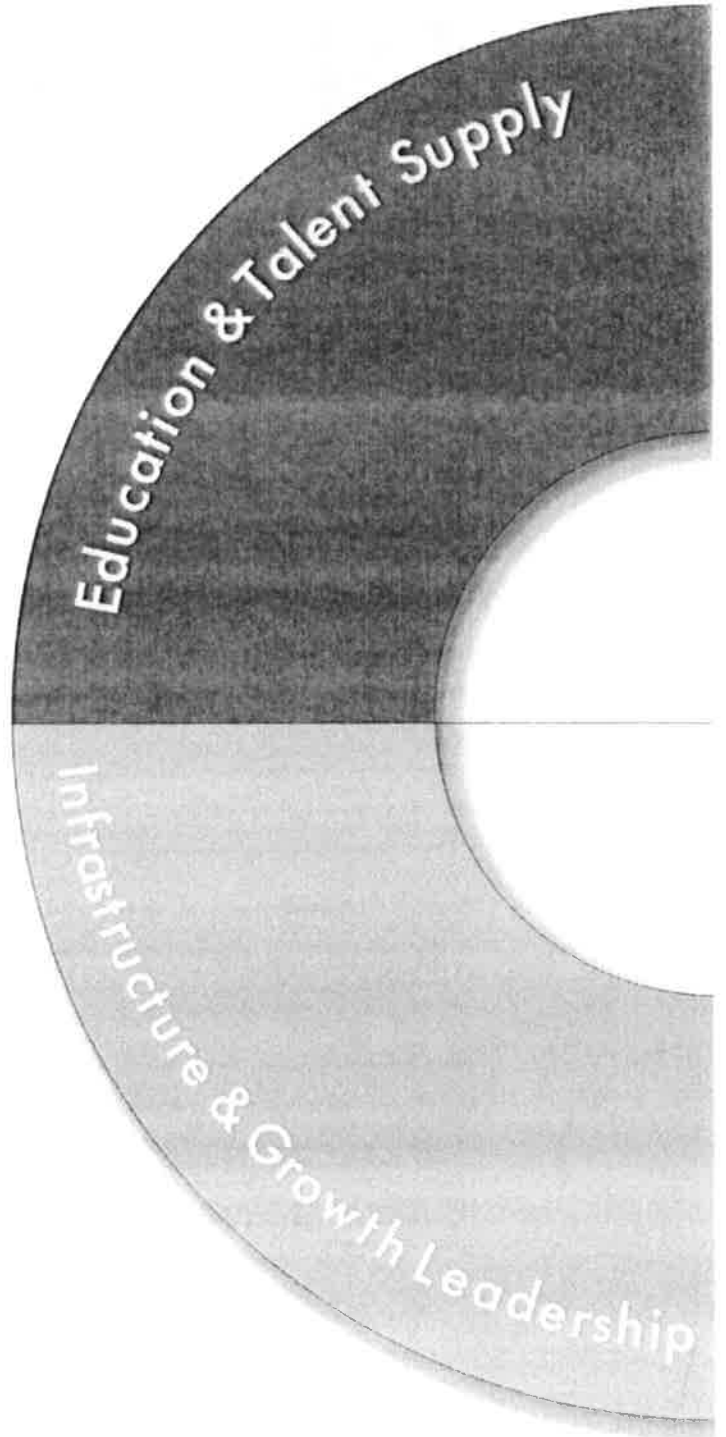
To date, 42 of North Carolina's 100 counties are participating in the Work Ready Communities program. This number is up from 28 at this time last year. Powered by a grant from Verizon, the NC Chamber has traveled to 22 of those counties to present them with the NCWorks Certified Work Ready Community certificate. Through this effort, more than 300,000 job-seekers have been certified as career ready and more than 2,000 North Carolina employers have signed on to participate.





North Carolina
Chamber
Foundation

ANNUAL REPORT 2016



SECURING
NORTH CAROLINA'S
FUTURE

In House Pro Bono 2017

Principal: Duke Energy Corporation

Source: Corporate Pro Bono

<http://www.cpbo.org/wp-content/uploads/2017/10/Duke-Energy-Corporation-2017.pdf>

Legal Department: 69 lawyers and 67 non-lawyers

Key Pro Bono Projects

- **Annual Wills Clinic**
- **Assisting Children in Need**
- **Assisting Small Business and Nonprofit Organizations**
- **Criminal Expunction Program**
- **Intake and Brief Advice**

Estimate contribution: \$2 million

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| | <ul style="list-style-type: none"> Requires a minimum of one hour on pro bono matters for credit towards Duke Energy Legal Department's pro bono participation goals |
| Mandatory Pro Bono | Participation in Duke Energy's pro bono program is not mandatory, although it is included among various incentive compensation goals within the legal department. The participation goal for 2017 is 70% of all members of the Duke Energy legal department. |
| Communications | Opportunities, policies, sample forms, training materials, and recognitions are posted to the Duke Energy legal department's intranet. In addition, information is communicated through the department's newsletter, at department meetings, and via email and personal outreach. |
| Recognitions/Awards | Every year, the pro bono committee publishes an annual report highlighting the legal department's participation in pro bono activities. In addition, participation is recognized at meetings and through the department newsletter. |
| Tracking Pro Bono | Duke Energy tracks participation in pro bono across all legal department personnel, including paralegals and administrative assistants. Volunteers email a pro bono committee member who compiles the data, including number of volunteers, number of hours of service, and number of clients served. |
| Partnerships | Duke Energy partners with law firms, churches, legal service providers, and other legal departments on pro bono work. |
| Professional Liability | Employees operating under the Duke Energy Bono Program are covered by Duke Energy's self-insurance. In addition, if Duke Energy attorney volunteers are working with a legal service provider, then they are also covered by the legal service provider's malpractice insurance in most cases. |
| Non-Lawyer Involvement | Paralegal and administrative assistants are encouraged to participate in pro bono and are included in the participation goal. Non-lawyers also serve on the pro bono committee. |
| Key Pro Bono Projects | |
| <i>Annual Wills Clinics</i> | <ul style="list-style-type: none"> Wills for Schools. In 2010, Duke Energy partnered with Alston & Bird and Legal Services of the Southern Piedmont (LSSP) to create the "Wills for Schools" program to provide free wills and estate planning documents to employees of the public school system in Charlotte, North Carolina. The program was modeled after the popular "Wills for Heroes" program which provides free wills and estate planning documents for first responders. This one-day event was held annually starting in 2011 and continuing in each of 2012, 2013 and 2015. Since its inception, this program has provided wills |

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| | <p>and estate planning documents to several hundred school employees.</p> <ul style="list-style-type: none"> • Community. In 2013, Duke Energy’s Raleigh, North Carolina office created an annual wills event in which it partners with local legal service provider organizations, law firms, and churches to provide free estate planning documents to indigent community members, including seniors. Since 2013, Duke Energy volunteers assisted more than 100 clients. • Wills for Seniors. In 2014, Duke Energy created another partnership with K&L Gates and LSSP to provide estate planning documents for seniors living in the Charlotte, North Carolina area. During the inaugural “Wills for Seniors” program in 2014, 38 clients were provided with free wills, health care powers of attorney, and other estate planning documents. This event is held annually. • First Responders. Duke Energy partners with the Cincinnati Paralegal Association to hold estate planning clinics to serve the needs of first responders in Cincinnati and Northern Kentucky. One or two events are held per year serving 30-50 clients per event. |
| <i>Assisting Children in Need</i> | <ul style="list-style-type: none"> • Guardian Ad Litem Program. Lawyers from Duke Energy collaborate to serve as Guardian ad Litem counsel for appeals to the North Carolina Court of Appeals on cases involving termination of parental rights. Lawyers spend hundreds of hours each year diving into the facts of the case, researching applicable law, and filing an appellate brief in support of the child’s best interests. Six children have been served through this effort in the last 24 months. • Safe Child Immigration work. Charlotte legal department teams of attorneys, paralegals, and administrative professionals have taken cases to represent parents of unaccompanied immigrant children from Central America in petitions to state court for legal custody. The clients seek to establish custody as the first step in the legal process after which they will seek special immigrant status for the children in immigration court. If granted, such status would permit the children to remain with the custodial parent. Volunteers have successfully obtained custody orders for four children. |
| <i>Assisting Small Businesses and Nonprofit Organizations</i> | <ul style="list-style-type: none"> • Entrepreneurship and Community Development Clinic (ECDC). In 2011, Duke Energy’s Cincinnati legal department partnered with the University of Cincinnati College of Law’s ECDC to provide free legal advice to local small businesses. Since then, Duke Energy volunteers participate in the one-day event each year and have assisted approximately 230 clients. |

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| | <ul style="list-style-type: none"> • Pro Bono Legal Advice to Non-profit Associations. Attorneys in the Plainfield, Indiana office provide pro bono legal services to several local non-profit associations. One of these organizations is Indy Reads, a not-for-profit organization that relies on volunteers to provide basic literary tutoring to illiterate and semi-literate adults in Central Indiana. Another organization is the Phoenix Theatre, a non-profit professional contemporary theatre company that produces unique performances for the Indianapolis community to create dialogues about current affairs. • Serving as Outside General Counsel. The Charlotte, North Carolina office provides pro bono legal services to Alexander Youth Network, a charitable organization that provides professional treatment for children with serious emotional and behavioral issues. Attorneys provided pro bono legal assistance ranging from advising on contract matters to employment matters and other corporate law issues. The legal department has continued providing these pro bono legal services each year in response to the needs of the organization. |
| <p><i>Criminal Expunction Program</i></p> | <p>In 2013, Duke Energy partnered with the Charlotte School of Law, Parker Poe Adams and Bernstein, and Legal Aid of North Carolina to create the criminal expunction program that assists pro bono clients in filing petitions for expunction and certificates of relief. Parker Poe conducted a one-hour training attended by more than 80 attorneys, paralegals, and administrative staff. The Charlotte School of Law developed an intake program and hotline which screens potential criminal expunction clients and routes eligible clients to Legal Aid of North Carolina. Legal Aid of North Carolina verifies the eligibility of the client for expunction and routes the case to either Duke Energy or Parker Poe. In its inaugural year, 58 pro bono clients were served. In total, approximately 200 clients have received assistance.</p> |
| <p><i>Intake and Brief Advice</i></p> | <ul style="list-style-type: none"> • Partnership with Neighborhood Christian Legal Clinic. The legal department of the Plainfield, Indiana office partners with the Neighborhood Christian Legal Clinic to provide pro bono legal representation and preventative legal education to low income families, including immigrant families. Duke Energy provides one attorney or paralegal each month from January through November to gather factual and financial information from persons seeking legal assistance. • Hendricks County Bar Association Intake Program. For several years, volunteers from the Plainfield, Indiana office also provide assistance at the Hendricks County Bar Association Intake Program for low-income residents who need help filing online applications and forms. |

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| | <ul style="list-style-type: none"> • Call4All Program. The Raleigh, North Carolina legal department participates in the annual Call 4All event, a statewide pro bono program organized by the North Carolina Bar Association, taking calls from pro bono clients seeking legal advice and referrals on North Carolina legal issues. • Florida State and County Bar Intake Programs. In St. Petersburg, Florida, members of the legal department routinely participate in intake programs sponsored by the Bay Area Legal Services in Tampa, Community Law Program in St. Petersburg, and Legal Services of North Florida in Tallahassee. These intake programs hold events several times a year and focus on providing pro bono legal assistance to low-income clients on a wide variety of civil legal matters including family law issues, domestic violence, bankruptcy, foreclosure, and probate issues. |
| Lessons Learned | |
| <i>Goals Matter</i> | <p>Duke Energy’s legal department has set increasing annual goals for participation that have proven to be extremely successful. Initially the goals were 30% by 2011 and 50% by 2012. In 2011, the department exceeded its goal and achieved 54% participation. In 2012 and 2013, the department met its 50% participation goal. Management set a higher goal of 65% for 2014 and 70% for 2015, with a goal of 80% of lawyers reporting to the general counsel participating in pro bono, all of which the department met. The percentage goals remained at 70% for 2016, but the 80% goal for lawyers in department management increased to 100%. The 70% department-wide goal was achieved with 88% participating.</p> |
| <i>Pro Bono Can Serve the Company’s Larger Goals</i> | <p>The legal department’s pro bono legal services support two pillars of the company’s enterprise-wide “Road Ahead” strategy for 2015: (1) improve the lives of our customers and vitality of our communities and (2) develop and engage employees, and strengthen leadership.</p> <p>With respect to the first pillar, the pro bono legal services often assist individuals and groups that are also Duke Energy customers in its franchised public utility service territories and help to improve their lives and the vitality of the communities in which Duke Energy operates.</p> <p>With respect to the second pillar, the pro bono program engages employees in legal services that commonly differ from the legal services they provide for the corporation, offers development and leadership opportunities when creating new pro bono programs, leading such programs or projects, representing a legal department office, and serving in other leadership roles on the department’s pro bono committee. The almost immediate tangible benefits enjoyed by pro bono clients are in contrast to many of the long-term projects</p> |

Public Relations

Principal: Duke Energy Corporation

There are approximately 105 employees working at Duke Energy Corporation in the Public Relations department.

Estimate contribution toward the Public Relations department: \$10 million