



Legal Transfer Form

Online: duke-energy.com/investors
E-mail: shareholder@broadridge.com

Dear Shareholder,

Thank you for contacting Broadridge Corporate Issuer Solutions, Inc. regarding a transfer of shares. Enclosed is the form you requested.

You would use this form if:

- You are looking to change your name;
- You are no longer considered a minor and would like to remove the custodian;
- You would like to add or remove a shareholder; or
- You would like to add a Transfer on Death beneficiary to your registration.

You would not use this form if:

- You would like to transfer your shares to your brokerage account or have shares from your brokerage account transferred to Broadridge.

Instead, request that a representative from your brokerage company initiate the transfer request. Our DRS number is 7824.

When completing the enclosed form:

1. Make sure your form has all of the required signatures. If you are signing for the shareholder, please include your title (i.e., Power of Attorney, Custodian, Executor) after your signature and *the proper documentation supporting your title, if applicable* (i.e., appointment documents). Your Legal Transfer will require a Medallion Signature Guarantee (MSG). Sign the form in the presence of the individual who will provide the Guarantee (usually your banker or broker).
2. All original stock certificates must be included with the completed Legal Transfer Form. Copies of stock certificates will not be accepted. If you do not know if your shares are represented by stock certificates or if you cannot locate your stock certificates, please contact us before submitting your transfer request.
3. Unless otherwise instructed, transferred shares will be issued in DRS Book-Entry form. If the existing account currently has direct deposit, monthly debit, or voluntary withholding instructions, these instructions will not automatically transfer over to the new account. If you would like us to apply these instructions to the new account or sell after transferring, please include a letter of instruction signed by all new shareholders or their legal representative(s) requesting such action.
4. If the company in which you have invested offers physical certificates and you would like to receive stock certificate(s) representative of your holdings, there may be a fee involved. Please note that many companies no longer offer physical certificates, however, you may contact Broadridge to confirm the availability of a stock certificate.
5. To ensure that your new account is properly tax certified and avoid any preventable withholding, all U.S. citizens should complete the provided substitute W-9 or complete a separate IRS Form W-9. Non-U.S. citizens should complete and submit an IRS Form W-8BEN or W-8BEN-E as applicable. Broadridge is required to withhold taxes on applicable payment if the proper tax certification documents are not received.

Please retain a copy of all documents for your records. All submitted documents deemed in good order for processing will be kept as part of Broadridge's permanent records and will not be returned to you. Documents for transfer must be submitted through the mail. For your security, we suggest that you do not sign the back of the certificate when presenting it to us for transfer. We recommend using registered mail or a courier service that provides a return receipt. We also suggest that you insure the mailing with the carrier for 2% of the stock's market value, which is the approximate cost to replace a certificate in the event that it is lost in transit. If mailing to Broadridge from outside the U.S., we suggest insuring the mailing with the carrier for 4% of the stock's market value.

Regular Mail

**Broadridge Shareholder Services
c/o Broadridge Corporate Issuer Solutions
P.O. Box 1342
Brentwood, NY 11717-0718**

OR

Overnight Mail

**Broadridge Shareholder Services
c/o Broadridge Corporate Issuer Solutions
1155 Long Island Avenue
Edgewood, NY 11717-8309
ATTN: IWS**

Sincerely,

Correspondence Department
Broadridge Corporate Issuer Solutions
Shareholder Services

Transaction Guide

A Medallion Signature Guarantee (MSG) is required for ALL transfer requests.

What is a Medallion Signature Guarantee (MSG)?

A MSG is a unique stamp provided by banks, brokers, credit unions, and other financial institutions. The stamp is imprinted with special ink used in validating its authenticity. The provider of the stamp or guarantor reviews documentation provided by you, the signer, and by issuing the stamp, warrants at the time of signing the signature was genuine; and the signer was an appropriate person to endorse; and the signer had legal capacity to sign. The guarantor institution should verify the medallion stamp is sufficient to cover the value of assets being transacted upon.

A notary stamp/seal or consulate stamp is not acceptable when transferring the ownership of stock.

Where can I obtain a MSG?

While there may be a fee associated with obtaining a Medallion Signature Guarantee, most banks and brokerage firms provide this service free of charge to their customers. Contact your financial institution to determine if they offer this service.

Reason for Transaction	Additional Documentation Required with a MSG	
Add or Remove a Joint Tenant.	- No additional documents are required with a MSG.	
Name Change due to Misspelling, Marriage, Divorce, etc.	- No additional documents are required with a MSG.	
Transfer to the Former Minor in a Custodial Account.	<ul style="list-style-type: none"> - Proof that the former minor is now age of majority for State listed in registration (i.e., copy of Birth Certificate, Passport, or State-issued driver's license). - A MSG is only required if the former minor is transferring shares into a new or married name, adding a joint owner, or otherwise changing the registration. 	
Change of Trustee.	<ul style="list-style-type: none"> - Copy of the first and last pages of the Trust Agreement, as well as any page where successor Trustee(s) is/are designated. - Notarized Trustee Resignation Letter. 	
Creation of Trust Account.	- Copy of the first and last pages of the Trust Agreement, as well as any page where successor Trustee(s) is/are designated.	
Add/Change Transfer on Death (TOD) Beneficiary.	- No additional documents are required with a MSG.	
Corporation Registration Change.	<ul style="list-style-type: none"> - The certificate of name change issued by the Secretary of the State of Incorporation; OR - The current copy of the corporate resolution signed by the authorizing officer(s) stating that the company's name has been changed. The seal of the corporation must be placed on the resolution or bylaws and must be dated within one year of the request. 	
Giftng Shares.	<ul style="list-style-type: none"> - No additional documents are required with a MSG. - Use multiple pages of Legal Transfer Form - Page 2 to transfer shares to more than one recipient. 	
Deceased Shareholder Transfers by Account Type ^	Additional Documentation Required with a MSG	
Individual Account – Estate is not going to be Probated.	<ul style="list-style-type: none"> - Copy of Death Certificate. - Completed Waiver of Probate/Notarized Small Estate Affidavit. 	<ul style="list-style-type: none"> - Notarized Affidavit of Domicile (U.S. shareholders only). - Inheritance Tax Waiver (if required by decedent's State of Residence).
Individual Account - Estate has been Probated and is still open.	<ul style="list-style-type: none"> - Copy of Death Certificate. - Notarized Affidavit of Domicile (U.S. shareholders only). - Inheritance Tax Waiver (if required by decedent's State Residence). 	- A certified copy with the original signature and seal affixed of the Certificate of Appointment document dated within one year (six months for NY).
Joint Tenant Account – Both deceased.	<ul style="list-style-type: none"> - Copy of Death Certificate for the tenant who passed away first. - Notarized Affidavit of Domicile (U.S. shareholders only) for the tenant who passed away first. 	- Additional requirements are based on the second decedent's Estate status, as listed above.
Joint Tenant Account – One deceased.	<ul style="list-style-type: none"> - Copy of Death Certificate. <p>- For registrations that include JT TEN or JTWROS only: A MSG is only required if the surviving tenant is transferring shares into a new or married name, adding a joint owner, or otherwise changing the registration.</p>	- Notarized Affidavit of Domicile (U.S. shareholders only).
Trust Account – Deceased Trustee.	- Copy of Death Certificate of deceased trustee.	- Copy of the first and last pages of the Trust Agreement, as well as any page where successor Trustee(s) is/are designated.
Transfer on Death (TOD) – Shareholder deceased.	- Copy of Death Certificate of shareholder.	- Notarized Affidavit of Domicile (U.S. shareholders only).

^ If the deceased shareholder is not a U.S. person (including U.S. resident alien), please visit shareholder.broadridge.com/bcis/transfer for specific information regarding additional documentation to be submitted with the completed Legal Transfer Form.

CURRENT ACCOUNT INFORMATION

1. Name of Stock Issuer: (Example: ABC Company)

2. Account Number: (2-10 digits after the dash)
 -

3. Tax ID/SSN: (If applicable)

4. Account Registration: (Example: John Smith OR John Smith and Mary Smith JT TEN)

5. Mailing Address:

City: State: Zip Code: -


Country:

TRANSFER SPECIFICS

6. Total Shares to be transferred: (Check one box)

Transfer **ALL** Shares

Transfer **only the below specified shares**

IMPORTANT: You must include original stock certificates. 

Certificated Shares:

DRS Book-Entry Shares: (Whole shares)

Plan Shares: (Example: 120.0123)

7. Reason for Transfer: Check only one box. All transfers will be assumed a gift if no box is checked. If we receive documentation the shareholder is deceased, the transfer will default to inheritance. We recommend you consult your tax advisor regarding the tax implications for each scenario.

Gift No Change in Beneficial Ownership Inheritance: Date of Death _____ Price Per Share _____

8. Your signature is REQUIRED:

Each registered owner must sign their name EXACTLY as it appears on the account. The authorized person(s) must sign in his/her legal capacity. The undersigned hereby irrevocably constitute and appoint Broadridge as attorney to transfer the shares with full power of substitution in the premises.

Signature: _____
 *Legal Capacity: _____


Signature: _____
 *Legal Capacity: _____

Date: _____ Tel: _____

E-mail Address: _____

*The authorized person(s) must sign in his/her legal capacity. (Example: Executor, Trustee, Power of Attorney)

Medallion Signature Guarantee (MSG)
 Signature(s) must have a MSG from a commercial bank, broker, credit union or other financial institution. A notary stamp/seal or consulate stamp cannot be accepted in place of a MSG.

IMPORTANT: You must complete both pages of this form. 

NEW HOLDER/RECIPIENT INFORMATION

9. New Shareholder(s) Account Type - CHECK ONE:

Individual
 Joint
 Estate
 Custodial
 Add a Transfer on Death Beneficiary (one per account)

Trust: _____ (Trust Date)
 Other: _____ (Example: Tax-Exempt Charity, Corporation)

10. New Shareholder(s) Information – see shareholder.broadridge.com/bcis/transfer for formatting examples:

Please indicate one:
 New Account
 Existing Account Number
 -

Primary Shareholder Name: (First, MI, Last) Individual / Trustee / Custodian / Executor / Other

Secondary Shareholder Name: (First, MI, Last) Joint Tenant / Co-Trustee / Minor / Transfer on Death Beneficiary / Other (if applicable)

Trust Name/Estate Name:

Mailing Address:

City: State: Zip Code: -

Country:

Optional – New Shareholder Contact Information: E-mail Address:

Telephone Number:

11. Share Designation:

DRS Book-Entry Shares: (Whole shares)

Plan Shares: (Example: 120.0123)

Enroll in Plan*: Yes No

*By electing to enroll in the plan, I admit to reading the company's applicable plan document and agree to its terms. If no signature is provided, then the shares will be placed outside of Plan into DRS Book-Entry. The remaining fractional share will be sold and will be subject to associated sale and brokerage fees as outlined in the company's applicable plan document.

Plan enrollment is only allowable if the issuer offers such. If elected and by default, the new account will be enrolled at 100% dividend reinvestment. If allowed and the new shareholder wishes to elect for a different variation of reinvestment, please make the selection online through our Shareholder Portal at shareholder.broadridge.com.

New Shareholder Signature: _____

Date: _____

NEW HOLDER/RECIPIENT TAX PAYER ID CERTIFICATION (SUBSTITUTE W-9)

If a new custodial account is being created, provide the minor’s TIN and have the custodian sign the form. For joint tenant accounts, provide the primary account holder’s TIN (the primary account holder is the first joint tenant listed on the account). If requested information is not known at time of transfer, or the new owner is not available to sign, an IRS Form W-9 will be mailed to the new shareholder(s) once the shares are transferred. A new shareholder may also go online at shareholder.broadridge.com to print an IRS Form W-9. If the new holder/recipient is not a U.S. person (including a U.S. resident alien), please complete the applicable IRS Form W-8.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
2 Business name/disregarded entity name, if different from above	
3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____ Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) ▶ _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>
5 Address (number, street, and apt. or suite no.) See instructions.	Requester’s name and address (optional)
6 City, state, and ZIP code	
7 List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number											
				-			-				
or											
Employer identification number											
			-								

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ▶	Date ▶

Affidavit of Domicile

Broadridge Corporate Issuer Solutions
P.O. Box 1342
Brentwood, NY 11717-0718



Legal Transfer Form - Appendix A

Only use this form if the current shareholder is deceased and was a U.S. person (including U.S. resident alien). All fields must be completed. A Notary stamp is required.



State of: _____ County of: _____

Name of Stock (Issuer): _____

Name(s) on the Account: _____

Deceased Holder's Tax Identification Number (TIN) or Social Security Number: _____

I/We, the undersigned _____ being duly sworn, depose and say that (I/We) reside

(signatory's name)

at _____ and am/are

(mailing address)

_____ (describe your status such as Executive Administrator, Survivor in Joint Tenancy, if a corporate fiduciary, show title of affiant and name of corporation)

of _____

(deceased shareholder's name)

who died on the _____ day of _____, 20 _____ that at the time of death the

domicile (legal residency) of said decedent was at _____

(deceased shareholder's address at time of death)

County of _____, State of _____ that the decedent resided at

such address for _____ years prior to death and was not a resident of any (other) State within the United States of America at the time of death.

That any and all debts, taxes, legacies, and claims against the estate have been paid or provided for; that this affidavit is made for the purpose of securing the transfer or delivery of property owned by the decedent at the time of his/her death to a purchaser or the person or persons legally entitled thereto under the laws of the decedent's domicile; and that any apparent inequality in distribution has been satisfied or provided for out of other assets in the estate.

Signature(s): (Executor, Administrator, or Survivor)

Place Notary Seal Here

Signature

Signature of co-executor

Capacity Line*

Notary Signature

*The authorized person(s) must sign in his/her legal capacity.
(Example: Executor, Trustee, Power of Attorney)

Sworn to before me, a notary public, this _____ Day of _____, 20 _____

Notary Public Commission Expires: _____

Lost Certificate Stop Release Letter

Broadridge Corporate Issuer Solutions
P.O. Box 1342
Brentwood, NY 11717-0718



Legal Transfer Form - Appendix B

Only use this form if you previously reported a Stock Certificate as lost and it has since been located. All fields must be completed.



Name of Stock (Issuer): _____

Certificate number(s): _____

(this information can be located in the top left box of the stock certificate; may include a prefix [i.e. ZQ])

Number of Shares: _____

Name(s) on the Account: _____

To Whom It May Concern,

The listed certificate(s) has/have been found. Please use this letter as authorization for Broadridge to release the restriction that has been placed on the certificate(s) which was/were previously reported as lost and/or stolen.

Sincerely,

Signature: _____

Date: _____

Signature: _____

Date: _____

Capacity Line: _____

*The authorized person(s) must sign in his/her legal capacity. (Example: Executor, Trustee, Power of Attorney)