Edgar Filing: DIMICCO DANIEL R - Form 4

DIMICCO	DANIEL R									
Form 4										
April 03, 20)12									
FORM	Λ4		anau						PPROVAL	
	UNITED	STATES		RITIES A shington			E COMMISSIO	N OMB Number:	3235-0287	
Check t	aar							Expires:	January 31,	
if no lor subject		MENT OI	F CHAI	NGES IN	BENE	TICIAL O	WNERSHIP OF	Estimated	2005 average	
Section 16. SECURITIES								burden hou		
Form 4								response		
Form 5 obligati	-						nge Act of 1934,			
may con				•	•	- ·	of 1935 or Secti	on		
See Inst		30(h)	of the I	nvestmen	t Compa	ny Act of 1	940			
1(b).										
(Print or Type	Responses)									
	Address of Reporting	Person [*]	2. Issuer Name and Ticker or Trading			r Trading	5. Relationship of Reporting Person(s) to			
DIMICCO	DANIEL R		Symbol				Issuer			
			Duke Energy CORP [DUK]			JK]	(Ch	eck all applicabl	e)	
(Last)	(First) (Middle)	3. Date of	of Earliest T	ransaction		(en	ek un upplieuoi)	
			(Month/Day/Year)			_X_Director10% Owner				
550 S. TRYON STREET			03/30/2012			Difficer (give title Other (specify below) below)				
(Street)			4. If Amendment, Date Original				6. Individual or Joint/Group Filing(Check			
	(Bucct)			onth/Day/Yea	-	aı	Applicable Line)	Joint Group Pin	lig(Check	
							X Form filed by			
CHARLO	ГТЕ, NC 28202						Form filed by Person	More than One R	eporting	
(City)	(State)	(Zip)	Tał	ole I - Non-l	Derivative	Securities A	Acquired, Disposed	of, or Beneficia	lly Owned	
1.Title of	2. Transaction Date	2A. Deemo	ed	3.	4. Securi	ties	5. Amount of	6. Ownership	7. Nature of	
Security	(Month/Day/Year)	Execution	Date, if	Transactio			Securities	Form: Direct	Indirect	
(Instr. 3)		any (Month/De	v/Voor)	Code	Disposed		Beneficially Owned	(D) or Indirect		
		(Month/Da	(y/ i ear)	(Instr. 8)	(Instr. 3,	4 and 3)		(I) (Instr. 4)	Ownership (Instr. 4)	
						(A)	Reported			
						(A) or	Transaction(s)			
				Code V	Amount	(D) Price	(Instr. 3 and 4)			
Reminder: Re	port on a separate line	e for each cl	ass of sec	urities bene	ficially ow	ned directly	or indirectly.			
					-	-	spond to the colle	ction of	SEC 1474	
					infor	mation con	tained in this form	n are not	(9-02)	
							ond unless the fo ntly valid OMB co			
					numb	•				

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number	6. Date Exercisable and	7. Title and Amount of	8. Pric
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onof Derivative	Expiration Date	Underlying Securities	Deriva
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)	Securi
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Acquired			(Instr.

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	Derivative Security				(A) orDisposed(D)(Instr. 3, and 5)						
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Director Savings Plan	<u>(1)</u>	03/30/2012	А		1,523		(2)	<u>(3)</u>	Common Stock	1,523	\$ 21

Reporting Owners

Reporting Owner Name / Address		Relationsh			
	Director	10% Owner	Officer	Other	
DIMICCO DANIEL R 550 S. TRYON STREET CHARLOTTE, NC 28202	Х				
Signatures					
/s/ David S. Maltz, attorney-in-fact for Daniel R. 04/03/20 DiMicco					
<u>**</u> Signature of Reporti	ng Person			Date	

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Converts to Common Stock on a 1-for-1 basis.
- (2) Generally payable upon reporting person's termination of service.
- (3) Expiration date not applicable.
- (4) Includes additional securities acquired pursuant to regular dividend reinvestments.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number. **r>**

A copy of the presentation is attached as Exhibit 99.1 and is incorporated by reference herein.

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Section 9 – Financial Statements and Exhibits				
Item 9.01	Financial Statements and Exhibits.			
(d)	Exhibits			
Exhibit No.	Description			
99.1	Presentation R&R			

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Dated: September 4, 2014

CAPSTONE THERAPEUTICS CORP.

/s/ John M. Holliman, III John M. Holliman, III Executive Chairman