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Return of Private Foundation or Section 4947(a)(1) Nonexempt Charitable Trust Treated as a Private Foundation

2009

Department of the Treasury
Internal Revenue Service

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

For calendar year 2009, or tax year beginning

, and ending

G Check all that apply

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeUse the IRS
label.
Otherwise,
print
or type.
See Specific
Instructions.

Name of foundation

NORTHEAST UTILITIES FOUNDATION, INC.

C/O PATRICIA MCCULLOUGH

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

P.O. BOX 270

Room/suite

City or town, state, and ZIP code

HARTFORD, CT 06141-0270

A Employer identification number

06-1527290

B Telephone number

860-728-4840

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 ☐

H Check type of organization

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundationI Fair market value of all assets at end of year
(from Part II, col. (c), line 16)

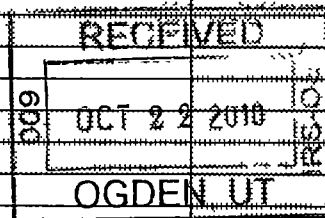
J Accounting method

☐ Cash☒ Accrual☐ Other (specify)

▶ \$ 21,759,262. (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				
	2	Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3	Interest on savings and temporary cash investments	2,186.	2,186.		STATEMENT 1
	4	Dividends and interest from securities	315,033.	315,033.		STATEMENT 2
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	-4,639,673.			
	b	Gross sales price for all assets on line 6a	9,162,460.			
	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				
Operating and Administrative Expenses	b	Less Cost of goods sold				
	c	Gross profit or (loss)				
	11	Other income				
	12	Total. Add lines 1 through 11	-4,322,454.	317,219.	0.	
	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				
	c	Other professional fees	STMT 3	24,592.	17,870.	0.
	17	Interest				
	18	Taxes	STMT 4	9,830.	9,830.	0.
	19	Depreciation and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses	STMT 5	14,624.	0.	0.
	24	Total operating and administrative expenses. Add lines 13 through 23		49,046.	27,700.	0.
	25	Contributions, gifts, grants paid		594,403.		1,188,152.
	26	Total expenses and disbursements. Add lines 24 and 25		643,449.	27,700.	0.
	27	Subtract line 26 from line 12		-4,965,903.		
	a	Excess of revenue over expenses and disbursements				
	b	Net investment income (if negative, enter -0-)		289,519.		
	c	Adjusted net income (if negative, enter -0-)			0.	



Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1 Cash - non-interest-bearing			408,448.	259,037.	259,037.
	2 Savings and temporary cash investments					
	3 Accounts receivable ▶					
	Less: allowance for doubtful accounts ▶					
	4 Pledges receivable ▶					
	Less: allowance for doubtful accounts ▶					
	5 Grants receivable					
	6 Receivables due from officers, directors, trustees, and other disqualified persons					
	7 Other notes and loans receivable ▶					
	Less: allowance for doubtful accounts ▶					
	8 Inventories for sale or use					
	9 Prepaid expenses and deferred charges					
	10a Investments - U S and state government obligations					
	b Investments - corporate stock					
	c Investments - corporate bonds					
	11 Investments - land, buildings, and equipment basis ▶					
	Less: accumulated depreciation ▶					
	12 Investments - mortgage loans					
	13 Investments - other STMT 6	27,278,276.	21,866,404.	21,500,225.		
	14 Land, buildings, and equipment basis ▶					
	Less: accumulated depreciation ▶					
	15 Other assets (describe ▶)					
	16 Total assets (to be completed by all filers)	27,686,724.	22,125,441.	21,759,262.		
	Liabilities	17 Accounts payable and accrued expenses	38,035.	8.		
		18 Grants payable	2,632,000.	2,038,250.		
19 Deferred revenue						
20 Loans from officers, directors, trustees, and other disqualified persons						
21 Mortgages and other notes payable						
22 Other liabilities (describe ▶)						
23 Total liabilities (add lines 17 through 22)		2,670,035.	2,038,258.			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24 Unrestricted	25,016,689.	20,087,183.			
	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.					
	27 Capital stock, trust principal, or current funds					
	28 Paid-in or capital surplus, or land, bldg, and equipment fund					
	29 Retained earnings, accumulated income, endowment, or other funds					
	30 Total net assets or fund balances	25,016,689.	20,087,183.			
	31 Total liabilities and net assets/fund balances	27,686,724.	22,125,441.			

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	25,016,689.
2 Enter amount from Part I, line 27a	2	-4,965,903.
3 Other increases not included in line 2 (itemize) ▶ BOOK/TAX GAIN/LOSS DIFFERENCE	3	36,397.
4 Add lines 1, 2, and 3	4	20,087,183.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	20,087,183.

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a			
b SEE ATTACHED STATEMENT			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 9,162,460.		13,802,133.	-4,639,673.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			-4,639,673.

2 Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	2	-4,639,673.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)	<div> <div>If gain, also enter in Part I, line 8, column (c)</div> <div>If (loss), enter -0- in Part I, line 8</div> </div>	3	N/A

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year, see instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2008	1,103,335.	23,032,557.	.047903
2007	946,985.	27,547,725.	.034376
2006	1,204,565.	14,151,133.	.085121
2005	1,382,973.	884,201.	1.564093
2004	1,802,843.	1,391,204.	1.295887

2 Total of line 1, column (d)	2	3.027380
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	.605476
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	20,209,890.
5 Multiply line 4 by line 3	5	12,236,603.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,895.
7 Add lines 5 and 6	7	12,239,498.
8 Enter qualifying distributions from Part XII, line 4	8	1,202,776.

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

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Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)		1	5,790.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	0.
3 Add lines 1 and 2		3	5,790.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	5,790.
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	33,513.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments Add lines 6a through 6d	7	33,513.	
8 Enter any penalty for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	27,723.	
11 Enter the amount of line 10 to be: Credited to 2010 estimated tax <input type="checkbox"/> 10,000. Refunded <input type="checkbox"/>	11	17,723.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> CT		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.NORTHEASTUTILITIESFOUNDATION.ORG</u>	13	X	
14	The books are in care of ► <u>JAY S. BUTH</u> Telephone no ► <u>860-728-4670</u> Located at ► <u>56 PROSPECT STREET, HARTFORD, CT</u> ZIP+4 ► <u>06103-2818</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	<input type="checkbox"/> 15 N/A		

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A	1b
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?		1c X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes," list the years ► _____		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► _____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.)	N/A	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?		4b X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?☐ Yes ☒ No**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?**6b**

If "Yes" to 6b, file Form 8870.

X

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 7		0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over \$50,000

0

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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)

3 Five highest-paid independent contractors for professional services. If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over \$50,000 for professional services 0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 CONNECTICUT CENTER FOR SCIENCE AND EXPLORATION - CIVIC AND COMMUNITY GRANT	125,000.
2 NAUGATUCK VALLEY COMMUNITY COLLEGE - EDUCATION GRANT	125,000.
3 REGIONAL EMPLOYMENT BOARD OF HAMPDEN COUNTY - CIVIC AND COMMUNITY GRANT	118,000.
4 SCHOLARSHIPS	105,000.

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	
2	
All other program-related investments See instructions	
3	
Total. Add lines 1 through 3	0.

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Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	20,183,913.
b	Average of monthly cash balances	1b	333,742.
c	Fair market value of all other assets	1c	0.
d	Total (add lines 1a, b, and c)	1d	20,517,655.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	20,517,655.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	307,765.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	20,209,890.
6	Minimum investment return. Enter 5% of line 5	6	1,010,495.

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	1,010,495.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	5,790.
b	Income tax for 2009 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	5,790.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,004,705.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	1,004,705.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	1,004,705.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	1,202,776.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,202,776.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,202,776.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				1,004,705.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2009:				
a From 2004	1,733,685.			
b From 2005	1,339,311.			
c From 2006	498,007.			
d From 2007				
e From 2008				
f Total of lines 3a through e	3,571,003.			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ \$	1,202,776.			
a Applied to 2008, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2009 distributable amount				1,004,705.
e Remaining amount distributed out of corpus	198,071.			
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:	3,769,074.			
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see instr			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	1,733,685.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	2,035,389.			
10 Analysis of line 9				
a Excess from 2005	1,339,311.			
b Excess from 2006	498,007.			
c Excess from 2007				
d Excess from 2008				
e Excess from 2009	198,071.			

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE STATEMENT 10	SEE STATEMENT 10	SEE STATEMENT 10	SEE STATEMENT 10	1188152.
b Approved for future payment SEE STATEMENT 11	SEE STATEMENT 11	SEE STATEMENT 11	SEE STATEMENT 11	2038250.
Total			▶ 3a	1188152.
			▶ 3b	2038250.

Analysis of Income-Producing Activities

Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
		14	2,186.	
		14	315,033.	
		14	-4,639,673.	
	0.		-4,322,454.	0.

13 -4,322,454

Relationship of Activities to the Accomplishment of Exempt Purposes

Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes)

N/A

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs MLC Co		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	COLUMBIA INCOME FD CL Z	P	VARIOUS	VARIOUS
b	CMG SMALL CAP VALUE	P	VARIOUS	VARIOUS
c	CMG MID CAP VALUE	P	VARIOUS	VARIOUS
d	CMG ENHANCED S&P 500 INDEX	P	VARIOUS	VARIOUS
e	COLUMBIA INCOME FD CL Z	P	VARIOUS	VARIOUS
f	CMG SMALL CAP VALUE	P	VARIOUS	VARIOUS
g	CMG MID CAP VALUE	P	VARIOUS	VARIOUS
h	CMG ENHANCED S&P 500 INDEX	P	VARIOUS	VARIOUS
i	CMG SMALL CAP GROWTH	P	VARIOUS	VARIOUS
j	COLUMBIA ACORN TR SELECT CL Z	P	VARIOUS	VARIOUS
k	PIMCO TOTAL RETURN FUND	P	VARIOUS	VARIOUS
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 63,320.		72,749.	-9,429.
b 63,268.		58,370.	4,898.
c 12,427.		11,469.	958.
d 133,404.		125,669.	7,735.
e 2,807,845.		3,188,658.	-380,813.
f 471,313.		796,717.	-325,404.
g 806,413.		1,490,606.	-684,193.
h 3,969,405.		6,815,250.	-2,845,845.
i 432,527.		668,800.	-236,273.
j 400,000.		573,844.	-173,844.
k 2,538.		1.	2,537.
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			-9,429.
b			4,898.
c			958.
d			7,735.
e			-380,813.
f			-325,404.
g			-684,193.
h			-2,845,845.
i			-236,273.
j			-173,844.
k			2,537.
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	-4,639,673.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8 }	3	N/A

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
BLACKROCK PROVIDENT INST. FUNDS	2,186.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	2,186.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
BANK OF AMERICA COMBINED ACCOUNT	315,033.	0.	315,033.
TOTAL TO FM 990-PF, PART I, LN 4	315,033.	0.	315,033.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNT MANAGEMENT FEES	17,870.	17,870.	0.	0.
OTHER	6,722.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 16C	24,592.	17,870.	0.	0.

FORM 990-PF TAXES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES PAID	9,830.	9,830.	0.	0.
TO FORM 990-PF, PG 1, LN 18	9,830.	9,830.	0.	0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
GRANT EXPENSES	14,624.	0.	0.	14,624.	
TO FORM 990-PF, PG 1, LN 23	14,624.	0.	0.	14,624.	

FORM 990-PF	OTHER INVESTMENTS		STATEMENT	6
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE	
BANK OF AMERICA MUTUAL FUNDS	COST	21,866,404.	21,500,225.	
TOTAL TO FORM 990-PF, PART II, LINE 13		21,866,404.	21,500,225.	

FORM 990-PF

PART VIII - LIST OF OFFICERS, DIRECTORS
TRUSTEES AND FOUNDATION MANAGERS

STATEMENT 7

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
CHARLES W. SHIVERY 56 PROSPECT STREET HARTFORD, CT 06103	CHAIRMAN 2.00	0.	0.	0.
PATRICIA MCCULLOUGH 56 PROSPECT STREET HARTFORD, CT 06103	SECRETARY, PRESIDENT & EXE 15.00	0.	0.	0.
O. KAY COMENDUL 56 PROSPECT STREET HARTFORD, CT 06103	ASSISTANT SECRETARY 2.00	0.	0.	0.
DAVID R. MCHALE 56 PROSPECT STREET HARTFORD, CT 06103	TREASURER 2.00	0.	0.	0.
GREGORY B. BUTLER 56 PROSPECT STREET HARTFORD, CT 06103	DIRECTOR 2.00	0.	0.	0.
PETER J. CLARKE 107 SELDEN STREET BERLIN, CT 06037	DIRECTOR 2.00	0.	0.	0.
JEAN M. LAVECCHIA 107 SELDEN STREET BERLIN, CT 06037	TREASURER 2.00	0.	0.	0.
GARY A. LONG 107 SELDEN STREET BERLIN, CT 06037	DIRECTOR 2.00	0.	0.	0.
JEFFREY D. BUTLER 107 SELDEN STREET BERLIN, CT 06037	DIRECTOR 2.00	0.	0.	0.
LEON J. OLIVER 107 SELDEN STREET BERLIN, CT 06037	DIRECTOR 2.00	0.	0.	0.
RODNEY O. POWELL 107 SELDEN STREET BERLIN, CT 06037	DIRECTOR 2.00	0.	0.	0.

NORTHEAST UTILITIES FOUNDATION, INC. C/O

06-1527290

MARIE T. VAN LULING
56 PROSPECT STREET
HARTFORD, CT 06103

DIRECTOR
2.00

0.

0.

0.

TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII

0.

0.

0.

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 8

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTEDLINDSAY PARKE
107 SELDEN STREET
BERLIN, CT 06037TELEPHONE NUMBER

(860) 665-3306

NAME OF GRANT PROGRAMECONOMIC, COMMUNITY & WORKFORCE DEVELOPMENT, AND
ENVIRONMENTAL LEADERSHIPFORM AND CONTENT OF APPLICATIONSA WRITTEN FOUNDATION REQUEST FOR FUNDING PLUS ALL REQUIRED ATTACHMENTS (SEE
ATTACHMENT)ANY SUBMISSION DEADLINES

NONE

RESTRICTIONS AND LIMITATIONS ON AWARDSSEE ATTACHMENT - ECONOMIC AND COMMUNITY DEVELOPMENT, NEW HAMPSHIRE,
MASSACHUSETTS AND CONNECTICUT

Northeast Utilities Foundation
2009 990 PF
EIN - 06-1527290
Statement # 10

Cash Paid

CT Academy for Education	\$ 25,000
CT Center for Science & Exploration	125,000
Scholarships	105,000
For Inspiration & Recognition of Science & Technology	50,000
CT River Watershed	40,000
Land Trust Alliance	100,000
Ludlow Boys & Girls Club	25,000
Naugatauk Valley Community College	125,000
Regional Employment Board of Hampden County	118,000
Northern Forest Center	75,000
SAMA-Spanish American Merchants Association	25,000
SoundWaters	52,000
Society for the Protection of NH's Forests	50,000
Stepping Stones Museum for Children	50,000
New Hampshire Climate Action Plan	35,000
University of Connecticut	100,000
	<u>1,100,000</u>

One time Payments

Greater Hartford Arts Council	25,000
Matching Education Gift Program	63,152
	<u>88,152</u>

Grants Paid	<u><u>\$ 1,188,152</u></u>
-------------	----------------------------

Northeast Utilities Foundation
2009 990 PF
EIN - 06-1527290
Statement # 11

CT Center for Science & Exploration	\$ 245,000
CT Center for Science & Exploration	505,000
Scholarships	177,250
Land Trust Alliance	100,000
Naugatauk Valley Community College	65,000
Regional Employment Board of Hampden County	59,000
Northern Forest Center	75,000
SAMA-Spanish American Merchants Association	25,000
SoundWaters	52,000
Stepping Stones Museum for Children	200,000
New Hampshire Climate Action Plan	35,000
University of Connecticut	500,000
Grants Payable	<u>2,038,250</u>

Grant Application Process



Northeast Utilities Foundation

Contact Us [icon]

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How We Do It

- Do I Qualify?
- Featured Partner

Foundation News
Northeast Utilities Foundation is pleased to announce that applications for its 2010 NU Foundation Sons & Daughters Scholarship program are now available at the Foundation's Web site under Sons & Daughters Scholarship Program
[View More >](#)

How the Foundation Carries Out its Grant Making

The Foundation supports larger initiatives that touch one or more of the states in NU's service territory, with a specific focus on economic and community development, workforce development, and the environment. The Foundation carries out its grant making in one of two ways:

We request proposals from organizations with which we have been in contact.
We send out occasional requests for proposals that address a specific issue or area of interest.

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Focus Areas for Northeast Utilities Foundation Grants

The Northeast Utilities Foundation invests almost exclusively in projects that address the issues of economic and community development, workforce development, and environmental stewardship

A more focused grant making approach allows the Foundation to make targeted investments in projects that improve the quality of life in the communities where our customers and employees are located

The NU Foundation will invest primarily in projects that address the following issues

Economic & Community Development

Special emphasis on

- New job creation
- Small business development
- Smart growth

Workforce Development

Special emphasis on:

- Training and education

Environmental Leadership & Stewardship

Special emphasis on:


- Protecting, preserving, or improving the environment natural habitats and biological diversity
- Renewable energy
- Energy efficiency

When evaluating potential partners, we take into account the following criteria:

- Objectives that fit within our priority areas
- Potential impact on the community
- A focus on benefits to our region
- Potential for employee participation
- Demonstrated leadership and effectiveness



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Who Does Not Qualify For A Grant

Foundation investments are not provided to

- Individuals
- Corporations that do not qualify as charitable organizations as defined by the Internal Revenue Code
- Projects benefiting limited groups (religious, fraternal, political)
- Private foundations or endowments
- Reducing or eliminating a pre-existing debt
- Athletic outings

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Where to Submit Proposals

All inquiries and proposals for the Foundation should be submitted to the appropriate state representative, as follows


In Connecticut
Lindsay Parke
Community Relations
Connecticut Light & Power
P O Box 270
Hartford, CT 06141-0270
Telephone (860) 665-3306
Fax (860) 665-5755
[Website](#)
[Email](#)

In Western Massachusetts
Edgar Alejandro
Economic and Community Development
Western Massachusetts Electric Company
P O Box 2010
West Springfield, MA 01090-2010
Telephone (413) 785-5871
Fax (413) 787-9289, ext 2289
[Website](#)
[Email](#)

In New Hampshire
Paulette Faggiano
Communications & Public Affairs Manager
Public Service of New Hampshire
P O Box 330
Manchester, NH 03105-0330
Telephone (603) 634-3386
Fax (603) 634-2367
[Website](#)
[Email](#)



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Contact Information

For more information on the Northeast Utilities Foundation, please contact:

Patricia McCullough
President, Executive Director
Northeast Utilities Foundation
P O Box 270
Hartford, CT 06141-0270
Voicemail (888) 682-4639 (toll free)
(860) 728-4847 (local)
Email

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Local Community Investments

At the local level the companies owned and operated by Northeast Utilities in Connecticut, western Massachusetts, and New Hampshire also provide grants to nonprofit organizations working within their service territories. The decision-making for these local grants and sponsorships is driven by the leadership of the local operating companies.

For more information about grants available through NU's local operating companies, please contact your local administrator

In Connecticut

Lindsay Parke

Community Relations

Connecticut Light & Power

P O Box 270

Hartford, CT 06141-0270

Telephone: (860) 665-3306

Fax: (860) 665-5755

[Website](#)

[Email](#)

In Western Massachusetts

Edgar Alejandro

Economic and Community Development

Western Massachusetts Electric Company

P O Box 2010

West Springfield, MA 01090-2010

Telephone: (413) 785-5871

Fax: (413) 787-9289, ext. 2289

[Website](#)

[Email](#)

In New Hampshire

Paulette Faggiano

Communications & Public Affairs Manager

Public Service of New Hampshire

P O. Box 330

Manchester, NH 03105-0330

Telephone: (603) 634-3386

Fax: (603) 634-2367

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

Part II		Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).	
Type or print File by the extended due date for filing the return See instructions	Name of Exempt Organization NORTHEAST UTILITIES FOUNDATION, INC. C/O PATRICIA MCCULLOUGH	Employer identification number 06-1527290	
	Number, street, and room or suite no. If a P.O. box, see instructions. P.O. BOX 270	For IRS use only	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. HARTFORD, CT 06141-0270		

Check type of return to be filed (File a separate application for each return):

- ☐ Form 990
 ☐ Form 990-EZ
 ☐ Form 990-T (sec. 401(a) or 408(a) trust)
 ☐ Form 1041-A
 ☐ Form 5227
 ☐ Form 8870
☐ Form 990-BL
☒ Form 990-PF
☐ Form 990-T (trust other than above)
☐ Form 4720
☐ Form 6069

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

JAY S. BUTH

- The books are in the care of **▶ 56 PROSPECT STREET - HARTFORD, CT 06103-2818**
 Telephone No. **▶ 860-728-4670** FAX No. **▶**

- If the organization does not have an office or place of business in the United States, check this box ☐

- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) **▶** ☐. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until **NOVEMBER 15, 2010.**

5 For calendar year **2009**, or other tax year beginning **▶**, and ending **▶**.

6 If this tax year is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension

ADDITIONAL TIME NEEDED TO PREPARE A MORE THOUGHTFUL AND ACCURATE RETURN

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	5,790.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	33,513.
c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

Signature and Verification

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form

Signature **▶** Title **▶ PRES., EXECUTIVE DIRECTOR** Date **▶**

Form 8868 (Rev 4-2009)