



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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

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

2012

Open to public inspection

For calendar year 2012 or tax year beginning

, and ending

Name of foundation THE NEW ENGLAND FOUNDATION C/O JOSEPH MCNAY		A Employer identification number 22-2757391
Number and street (or P.O. box number if mail is not delivered to street address) 125 HIGH STREET		B Telephone number 617-342-3200
City or town, state, and ZIP code BOSTON, MA 02110		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% 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) \$ 11,824,122. (Part I, column (d) must be on cash basis.)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____		

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	9,193.		N/A	
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	125,165.	125,165.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	586,809.			
	b Gross sales price for all assets on line 6a	6,840,285.			
	7 Capital gain net income (from Part IV, line 2)		586,809.		
	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	721,167.	711,974.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	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 2	46,667.	39,667.		7,000.
	17 Interest				
	18 Taxes STMT 3	419.	419.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 4	110,074.	90,611.		15,363.
	24 Total operating and administrative expenses. Add lines 13 through 23	157,160.	130,697.		22,363.
	25 Contributions, gifts, grants paid	965,900.			965,900.
26 Total expenses and disbursements. Add lines 24 and 25	1,123,060.	130,697.		988,263.	
27 Subtract line 26 from line 12	-401,893.				
a Excess of revenue over expenses and disbursements		581,277.			
b Net investment income (if negative, enter -0-)					
c Adjusted net income (if negative, enter -0-)			N/A		

THE NEW ENGLAND FOUNDATION

Form 990-PF (2012)

C/O JOSEPH MCNAY

22-2757391

Page 2

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					
	2	Savings and temporary cash investments			229,836.	432,350.	432,350.
	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 STMT 5			1,677,981.	1,704,264.	1,731,451.
	b	Investments - corporate stock STMT 6			9,269,309.	8,798,119.	9,660,321.
	c	Investments - corporate bonds					
Liabilities	11	Investments - land, buildings, and equipment basis ▶					
		Less accumulated depreciation ▶					
	12	Investments - mortgage loans					
	13	Investments - other					
	14	Land, buildings, and equipment basis ▶					
		Less accumulated depreciation ▶					
	15	Other assets (describe ▶)					
	16	Total assets (to be completed by all filers)			11,177,126.	10,934,733.	11,824,122.
	17	Accounts payable and accrued expenses			116,500.	276,000.	
	18	Grants payable					
Net Assets or Fund Balances	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)			116,500.	276,000.	
		Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>					
		and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted					
	25	Temporarily restricted					
	26	Permanently restricted					
		Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>					
		and complete lines 27 through 31.					
	27	Capital stock, trust principal, or current funds			10,649,285.	11,060,626.	
28	Paid-in or capital surplus, or land, bldg., and equipment fund			0.	0.		
	29	Retained earnings, accumulated income, endowment, or other funds			411,341.	-401,893.	
	30	Total net assets or fund balances			11,060,626.	10,658,733.	
	31	Total liabilities and net assets/fund balances			11,177,126.	10,934,733.	

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	11,060,626.
2	Enter amount from Part I, line 27a	2	-401,893.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	10,658,733.
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	10,658,733.

223511
12-05-12

Form 990-PF (2012)

THE NEW ENGLAND FOUNDATION

Form 990-PF (2012)

C/O JOSEPH MCNAY

22-2757391

Page 3

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 STATE STREET	P	VARIOUS	VARIOUS
b STATE STREET	P	VARIOUS	VARIOUS
c STATE STREET	P	VARIOUS	VARIOUS
d STATE STREET	P	VARIOUS	VARIOUS
e ALPHA K-1	P	VARIOUS	VARIOUS

(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 3,975,998.		3,670,537.	305,461.
b 922,906.		790,073.	132,833.
c 102,644.		101,294.	1,350.
d 1,875,923.		1,691,572.	184,351.
e -37,186.			-37,186.

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			305,461.
b			132,833.
c			1,350.
d			184,351.
e			-37,186.

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	586,809.
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

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 the 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))
2011	1,156,948.	12,723,073.	.090933
2010	1,104,223.	12,312,115.	.089686
2009	1,054,251.	11,480,318.	.091831
2008	1,388,707.	16,009,267.	.086744
2007	1,581,880.	19,106,545.	.082793

2 Total of line 1, column (d)	2	.441987
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	.088397
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	11,613,521.
5 Multiply line 4 by line 3	5	1,026,600.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	5,813.
7 Add lines 5 and 6	7	1,032,413.
8 Enter qualifying distributions from Part XII, line 4	8	988,263.

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.

THE NEW ENGLAND FOUNDATION

C/O JOSEPH MCNAY

22-2757391

Page 4

Form 990-PF (2012)

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)		
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	1	11,626.
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	11,626.
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	11,626.
6	Credits/Payments:		
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a	23,716.
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	23,716.
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	12,090.
11	Enter the amount of line 10 to be: Credited to 2013 estimated tax <input type="checkbox"/> 12,090. Refunded <input type="checkbox"/>	11	0.

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
1b 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
1c 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"/> MA		
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 2012 or the taxable year beginning in 2012 (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

Form 990-PF (2012)

THE NEW ENGLAND FOUNDATION
C/O JOSEPH MCNAY

Form 990-PF (2012)

22-2757391

Page 5

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 make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► JOSEPH MCNAY Located at ► 125 HIGH STREET, BOSTON, MA	Telephone no. ► 617-432-3200 ZIP+4 ► 02110		
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 ► 15 N/A			
16	At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No X

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 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 2012?	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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? If "Yes," list the years ► <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
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 2012 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 2012.) 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 2012?	4b	X

Form 990-PF (2012)

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

6b

X

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

7b

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

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
JOSEPH C. MCNAY C/O ESSEX INV. MGMT. 125 HIGH STREET BOSTON, MA 02110	TRUSTEE 1.00	0.	0.	0.
COLIN MCNAY C/O ESSEX INV. MGMT. 125 HIGH STREET BOSTON, MA 02110	TRUSTEE 1.00	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

Form 990-PF (2012)

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 NOT APPLICABLE	
	0.
2	
3	
4	

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 NOT APPLICABLE	
	0.
2	
3 All other program-related investments. See instructions.	
Total. Add lines 1 through 3	0.

Form 990-PF (2012)

THE NEW ENGLAND FOUNDATION
C/O JOSEPH MCNAY

Form 990-PF (2012)

22-2757391

Page 8

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	11,410,605.
b	Average of monthly cash balances	1b	379,772.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	11,790,377.
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	11,790,377.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	176,856.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	11,613,521.
6	Minimum investment return. Enter 5% of line 5	6	580,676.

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	580,676.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	11,626.
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	11,626.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	569,050.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	569,050.
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	569,050.

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	988,263.
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	988,263.
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	988,263.

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.

Form 990-PF (2012)

THE NEW ENGLAND FOUNDATION
C/O JOSEPH MCNAY

Form 990-PF (2012)

22-2757391 Page 9

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				569,050.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007	680,805.			
b From 2008	290,780.			
c From 2009	450,235.			
d From 2010	524,015.			
e From 2011	547,932.			
f Total of lines 3a through e	2,493,767.			
4 Qualifying distributions for 2012 from Part XII, line 4: ► \$ 988,263.				
a Applied to 2011, 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 2012 distributable amount				569,050.
e Remaining amount distributed out of corpus	419,213.			
5 Excess distributions carryover applied to 2012 (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:	2,912,980.			
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 2011. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				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 2007 not applied on line 5 or line 7	680,805.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	2,232,175.			
10 Analysis of line 9:				
a Excess from 2008	290,780.			
b Excess from 2009	450,235.			
c Excess from 2010	524,015.			
d Excess from 2011	547,932.			
e Excess from 2012	419,213.			

Form 990-PF (2012)

223581
12-05-12

THE NEW ENGLAND FOUNDATION

Form 990-PF (2012)

C/O JOSEPH MCNAY

22-2757391

Page 10

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

N/A

- 1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, enter the date of the ruling

b Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(j)(3) or☐ 4942(j)(5)

- 2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

b 85% of line 2a

c Qualifying distributions from Part XII, line 4 for each year listed

d Amounts included in line 2c not used directly for active conduct of exempt activities

e Qualifying distributions made directly for active conduct of exempt activities.

Subtract line 2d from line 2c

- 3 Complete 3a, b, or c for the alternative test relied upon:

a "Assets" alternative test - enter:

(1) Value of all assets

(2) Value of assets qualifying under section 4942(j)(3)(B)(i)

b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed

c "Support" alternative test - enter:

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)

(3) Largest amount of support from an exempt organization

(4) Gross investment income

Tax year

(a) 2012

(b) 2011

Prior 3 years

(c) 2010

(d) 2009

(e) Total

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year-see instructions.)**1 Information Regarding Foundation Managers:**

- a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)

NONE

- b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

NONE

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

- a The name, address, and telephone number or e-mail of the person to whom applications should be addressed:

N/A, 6173423200

- b The form in which applications should be submitted and information and materials they should include:

N/A

- c Any submission deadlines:

N/A

- d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors:

N/A

THE NEW ENGLAND FOUNDATION
C/O JOSEPH MCNAY

Form 990-PF (2012)

22-2757391 Page 11

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 ATTACHED	N/A	ALL PUBLIC CHARITIES	SEE ATTACHED STATEMENT	965,900.
Total			3a	965,900.
b Approved for future payment				
NONE				
Total			3b	0.

Form 990-PF (2012)

223611
12-05-12

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount		Related or exempt function income
1 Program service revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments						
4 Dividends and interest from securities			14	125,165.		
5 Net rental income or (loss) from real estate:						
a Debt-financed property						
b Not debt-financed property						
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory			18	586,809.		
9 Net income or (loss) from special events						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e)		0.		711,974.		0.
13 Total. Add line 12, columns (b), (d), and (e)					13	711,974.

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

[illegible]

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

- | | | Yes | No |
|--|---|-------|----|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | |
| | a Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| | (1) Cash | 1a(1) | X |
| | (2) Other assets | 1a(2) | X |
| | b Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | X |
| | (4) Reimbursement arrangements | 1b(4) | X |
| | (5) Loans or loan guarantees | 1b(5) | X |
| (6) Performance of services or membership or fundraising solicitations | 1b(6) | X | |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | X | |
| d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | | |

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

- b** If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

**Sign
Here**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, this is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

Signature of officer or trustee

Date _____

Title

May the IRS discuss this return with the preparer shown below (see instr)?

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

Preparer's signature

Date

Check

Check <input type="checkbox"/> if self-employed	PTIN
---	------

Firm's name ► DELOITTE TAX LLP

Firm's EIN ▶ 86-1065772

Firm's address ► 200 BERKELEY STREET
BOSTON, MA 02116

Phone no. 617-437-2000

Form 990-PF (2012)

Schedule B(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

OMB No 1545-0047

2012

Name of the organization

THE NEW ENGLAND FOUNDATION
C/O JOSEPH MCNAY

Employer identification number

22-2757391

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on Part I, line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. **Schedule B** (Form 990, 990-EZ, or 990-PF) (2012)

Name of organization
THE NEW ENGLAND FOUNDATION
C/O JOSEPH MCNAY

Employer identification number

22-2757391

Part I Contributors (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	THOMAS EBERT BASS IRREVOCABLE TRUST C/O ESSEX INVESTMENT MGMT CO, LLC 125 HIGH STREET BOSTON, MA 02110	\$ 9,193.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)

Name of organization

Employer identification number

THE NEW ENGLAND FOUNDATION
C/O JOSEPH MCNAY

22-2757391

Part II Noncash Property (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

THE NEW ENGLAND FOUNDATION
C/O JOSEPH MCNAY

22-2757391

Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once) ▶ \$ _____

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	1
-------------	--	-----------	---

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
DIVIDEND AND INTEREST INCOME	125,165.	0.	125,165.
TOTAL TO FM 990-PF, PART I, LN 4	125,165.	0.	125,165.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	2
-------------	-------------------------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ESSEX INVESTMENT	46,667.	39,667.		7,000.
TO FORM 990-PF, PG 1, LN 16C	46,667.	39,667.		7,000.

FORM 990-PF	TAXES	STATEMENT	3
-------------	-------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES WITHHELD	419.	419.		0.
TO FORM 990-PF, PG 1, LN 18	419.	419.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	4
-------------	----------------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
CUSTODIAL FEES	5,751.	5,751.		0.
ACCOUNTING FEES	13,875.	0.		13,875.
EXPENSES: FROM ESSEX ALPHA FUND K-1	84,860.	84,860.		0.
BANK FEES	1,488.	0.		1,488.
MA FILING FEE	-114.	0.		0.
ADR FEE	4,206.	0.		0.
OTHER EXPENSES	8.	0.		0.
TO FORM 990-PF, PG 1, LN 23	110,074.	90,611.		15,363.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT	5
-------------	--	-----------	---

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
US TREASURY BILLS AND NOTES	X		1,704,264.	1,731,451.
TOTAL U.S. GOVERNMENT OBLIGATIONS			1,704,264.	1,731,451.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			1,704,264.	1,731,451.

FORM 990-PF	CORPORATE STOCK	STATEMENT	6
-------------	-----------------	-----------	---

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
COMMON STOCK	4,334,408.	5,342,373.
ESSEX ALPHA FUND	4,463,711.	4,317,948.
TOTAL TO FORM 990-PF, PART II, LINE 10B	8,798,119.	9,660,321.

2012 Tax Information Statement

Page 7 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number: 4741968
Recipient's Tax ID Number: 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number: MA
State: MA
Questions? (800)392-9244
☐ Corrected
Revised: 03/02/2013
☐ 2nd TIN notice

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH STREET
BOSTON, MA 02110-2702

2012 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stocks Bonds, etc (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss (Box 6)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)	
Short Term Sales Reported on 1099-B									
00489C103	ACQUITY GROUP LTD-SP ADR		AQ						
130 0000	11/26/2012	11/08/2012	830 08	1,106.68	0 00	-276 60	0 00	0 00	
00489C103	ACQUITY GROUP LTD SP ADR		AQ						
240 0000	11/27/2012	11/08/2012	1,493 96	2,043 10	0 00	-549 14	0 00	0 00	
00489C103	ACQUITY GROUP LTD-SP ADR		AQ						
10 0000	11/27/2012	11/08/2012	63 69	85 13	0 00	-21 44	0 00	0 00	
00489C103	ACQUITY GROUP LTD-SP ADR		AQ						
40 0000	11/28/2012	11/08/2012	251 90	340 52	0 00	-88 62	0 00	0 00	
00489C103	ACQUITY GROUP LTD-SP ADR		AQ						
870 0000	11/29/2012	11/08/2012	5,381 43	7,406 22	0 00	-2,024 79	0 00	0 00	
00489C103	ACQUITY GROUP LTD-SP ADR		AQ						
169 0000	12/03/2012	11/08/2012	1,050 71	1,438 68	0 00	-387 97	0 00	0 00	
00489C103	ACQUITY GROUP LTD-SP ADR		AQ						
960 0000	12/05/2012	11/08/2012	5,702 17	8,172 38	0 00	2,470 21	0 00	0 00	
00489C103	ACQUITY GROUP LTD-SP ADR		AQ						
805 0000	12/06/2012	11/08/2012	4,765 25	6,852 88	0 00	-2,087 63	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

TEP1705.1.2013.04.54

2012 Tax Information Statement

Page 8 of 45

Payer's Name and Address:
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number: 4741968
Recipient's Tax ID Number: 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number: MA
State: MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised: 03/02/2013

Recipient's Name and Address:
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH STREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)					
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)
00826A109	AFFYMAX INC		AFFY					
2030 0000	09/18/2012	04/23/2012	41,202 79	23,410 77	0 00	17,792 02	0 00	0 00
00826A109	AFFYMAX INC		AFFY					
2814 0000	12/03/2012	04/23/2012	68,049 43	32,452 18	0 00	35,597.25	0 00	0 00
M0854Q105	ALLOT COMMUNICATIONS LTD		ALLT					
929 0000	10/01/2012	07/31/2012	23,210 63	22,470 47	0 00	740 16	0 00	0 00
M0854Q105	ALLOT COMMUNICATIONS LTD		ALLT					
2412 0000	10/02/2012	Various	60,426 48	55,157 87	0 00	5,268 61	0 00	0 00
031162100	AMGEN INC COM		AMGN					
1624 0000	02/08/2012	12/22/2011	109,968 01	103,176.13	0 00	6,791 88	0 00	0 00
04033A100	ARIAD PHARMACEUTICALS INC		ARIA					
1314 0000	09/18/2012	04/23/2012	31,101 68	19,640 75	0 00	11,460 93	0 00	0 00
04033A100	ARIAD PHARMACEUTICALS INC		ARIA					
2421 0000	12/19/2012	04/23/2012	48,842 58	36,187 42	0 00	12,655 16	0 00	0 00
073685109	BEACON ROOFING SUPPLY INC		BECN					
4036 0000	08/01/2012	Various	99,132 83	71,947 82	0 00	27,185 01	0 00	0 00
073685109	BEACON ROOFING SUPPLY INC		BECN					
2157 0000	08/10/2012	10/12/2011	55,783 29	36,690.57	0 00	19,092 72	0 00	0 00

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

10/17/08 4:29:14 PM

2012 Tax Information Statement

Page 9 of 45

Payer's Name and Address:
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number. 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number. MA
State Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised 03/02/2013

Recipient's Name and Address.
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH STREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)	
075896100	BED BATH & BEYOND INC COM		BBBY						
826 0000	09/20/2012	09/04/2012	52,136 69	55,520 50	0 00	3,383 81	0 00	0 00	
167250109	CHICAGO BRIDGE & IRON CO NV		CBI						
1737 0000	01/26/2012	03/02/2011	76,406 90	61,653 43	0 00	14,753 47	0 00	0 00	
167250109	CHICAGO BRIDGE & IRON CO NV		CBI						
1121 0000	08/10/2012	10/06/2011	41,727 95	34,133 67	0 00	7,594 28	0 00	0 00	
200340107	COMERICA INC COM		CMA						
1721.0000	08/10/2012	12/07/2011	52,536 30	44,936 52	0 00	7,599 78	0 00	0 00	
200340107	COMERICA INC COM		CMA						
2658 0000	11/26/2012	Various	77,672 19	64,489 95	0 00	13,182 24	0 00	0 00	
23324T107	DFC GLOBAL CORP		DLLR US						
164 0000	01/25/2012	10/27/2011	3,053 62	3,677 96	0 00	-624 34	0 00	0 00	
254687106	DISNEY WALT CO COM		DIS						
547 0000	09/18/2012	12/30/2011	28,307 27	20,556 10	0 00	7 751 17	0 00	0 00	
254687106	DISNEY WALT CO COM		DIS						
1140 0000	12/19/2012	12/30/2011	57,263 99	42,840 85	0 00	14,423 14	0 00	0 00	
268648102	E M C CORP MASS		EMC						
990 0000	01/27/2012	08/08/2011	25,591 01	22,125 71	0 00	3,465 30	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.



2012 Tax Information Statement

Page 10 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number. 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number: MA
State. MA
Questions? (800)392-9244
☐ Corrected
Revised. 03/02/2013
☐ 2nd TIN notice

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2e)	(Box 3)	(Box 5)		(Box 4)	(Box 15)	
278642103	EBAY INC COM		EBAY						
928 0000	12/20/2012	03/26/2012	47,533 32	35,333 88	0 00	12,199 44	0 00	0 00	
278642103	EBAY INC COM		EBAY						
1669 0000	12/28/2012	03/26/2012	83,495 52	63,547 67	0 00	19,947 85	0 00	0 00	
284131208	ELAN CORP PLC-SPONSORED ADR		ELN						
2770 0000	01/27/2012	05/18/2011	38,039 67	24,233 07	0 00	13,806 60	0 00	0 00	
284131208	ELAN CORP PLC-SPONSORED ADR		ELN						
4544 0000	03/30/2012	05/18/2011	67,426 90	39,752 73	0 00	27,674.17	0 00	0 00	
28849P100	ELLIE MAE INC		ELLI						
3430 0000	12/03/2012	05/23/2012	82,951 99	52,221 41	0 00	30,730 58	0 00	0 00	
316773100	FIFTH THIRD BANCORP COM		FITB						
4699 0000	11/26/2012	11/28/2011	68,650 84	53,333 65	0 00	15,317 19	0 00	0 00	
375558103	GILEAD SCIENCES INC COM		GILD						
666 0000	12/28/2012	04/23/2012	48,403 79	34,304 93	0 00	14 098 86	0 00	0 00	
38259P508	GOOGLE INC-A		GOOG						
50 0000	12/28/2012	09/28/2012	35,243 21	37,814 84	0 00	-2,571 63	0 00	0 00	
393122106	GREEN MOUNTAIN COFFEE INC		GMCR						
2063 0000	08/10/2012	Various	50,015 07	129,009 36	0 00	-78,994 29	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated) If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported The taxpayer is ultimately responsible for the accuracy of their own tax return

10/17/13 1:23:16 PM

2012 Tax Information Statement

Page 11 of 45

Payer's Name and Address:
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number 20-8007203
Payer's State ID Number MA
State: MA
Questions? (800)392-9244
☐ Corrected
Revised: 03/02/2013
☐ 2nd TIN notice

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums
Covered (Box 5a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)	(Box 4)	(Box 15)		
39679B103	GREENWAY MEDICAL TECHNOLOGIES INC		GWAY						
3920 0000	08/10/2012	Various	58,484 31	50,870 20	0 00	7,614 11	0 00	0 00	
36191X100	GSE HLDG INC		GSE						
920 0000	08/10/2012	03/13/2012	8,514 69	11,082 96	0 00	-2,568.27	0 00	0 00	
36191X100	GSE HLDG INC		GSE						
243 0000	08/13/2012	03/13/2012	2,226 91	2,927 35	0 00	-700 44	0 00	0 00	
36191X100	GSE HLDG INC		GSE						
541 0000	08/14/2012	03/13/2012	4,640 98	6,517 27	0 00	-1,876 29	0 00	0 00	
36191X100	GSE HLDG INC		GSE						
1683 0000	08/15/2012	03/13/2012	14,510 83	20 274 60	0 00	-5,763 77	0 00	0 00	
36191X100	GSE HLDG INC		GSE						
1299 0000	08/16/2012	03/13/2012	11,211 16	15,648 66	0 00	-4,437 50	0 00	0 00	
40171V100	GUIDEWIRE SOFTWARE INC		GWRE						
2089 0000	09/18/2012	07/31/2012	64,068 19	53,894 11	0 00	10,174 08	0 00	0 00	
451730105	IGNITE RESTAURANT GROUP INC		IRG						
2525 0000	07/19/2012	Various	38,033 47	46,568 04	0 00	8,534 57	0 00	0 00	
451730105	IGNITE RESTAURANT GROUP INC		IRG						
290 0000	07/20/2012	05/11/2012	4,210 45	5,049 63	0 00	-839 18	0 00	0 00	



This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

2012 Tax Information Statement

Page 12 of 45

Payer's Name and Address:
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number: 4741968
Recipient's Tax ID Number: 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number: MA
State: MA
Questions? (800)392-9244
☐ Corrected
Revised 03/02/2013
☐ 2nd TIN notice

Recipient's Name and Address:
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH STREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)	
45245E109	IMAX CORPORATION		IMAX						
2401 0000	12/19/2012	11/08/2012	52,398 72	53,797 53	0 00	1,398 81	0 00	0 00	
461202103	INTUIT COM		INTU						
922 0000	04/23/2012	03/21/2012	51,974 37	55,387 21	0 00	-3,412 84	0 00	0 00	
461202103	INTUIT COM		INTU						
985 0000	05/10/2012	03/21/2012	54,608 84	59,171 81	0 00	-4,562 97	0 00	0 00	
478160104	JOHNSON & JOHNSON COM		JNJ						
460 0000	01/30/2012	05/17/2011	30,039 17	30,527.07	0 00	-487 90	0 00	0 00	
478160104	JOHNSON & JOHNSON COM		JNJ						
398 0000	03/21/2012	05/17/2011	25,761 99	26,412 55	0 00	-650 56	0 00	0 00	
478160104	JOHNSON & JOHNSON COM		JNJ						
880 0000	03/30/2012	05/17/2011	57,937 28	58,399 62	0 00	-462 34	0 00	0 00	
48203R104	JUNIPER NETWORKS INC		JNPR						
2410 0000	04/20/2012	02/28/2012	49,659 10	56,957 70	0 00	-7,298 60	0 00	0 00	
512807108	LAM RESEARCH CORPORATION		LRCX						
1278 0000	07/31/2012	02/01/2012	43,931 54	55,681 57	0 00	-11,750 03	0 00	0 00	
538146101	LIVEPERSON INC		LPSN						
1426 0000	08/29/2012	06/18/2012	23,325 55	27,127 80	0 00	-3,802 25	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated) If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return

2012 Tax Information Statement

Page 13 of 45

Payer's Name and Address.
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number 20-8007203
Payer's State ID Number: MA
State: MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised. 03/02/2013

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)	
60689B107	M*MODAL INC		MODL						
12858 0000	07/03/2012	Various	179,665 95	111,801 86	0 00	67,864 09	0 00	0 00	
G60754101	MICHAEL KORS HLDGS LTD		KORS						
702 0000	03/21/2012	12/29/2011	34,129 50	19,224 13	0 00	14,905 37	0 00	0 00	
G60754101	MICHAEL KORS HLDGS LTD		KORS						
1171 0000	03/29/2012	Various	52,626 72	30,350 47	0 00	22,276 25	0 00	0 00	
62458M207	MOVE INC		MOVE						
3008 0000	08/29/2012	08/16/2012	23,257 63	24,500 46	0 00	-1,242 83	0 00	0 00	
62458M207	MOVE INC		MOVE						
325 0000	08/30/2012	08/16/2012	2,511 05	2,647.16	0 00	-136 11	0 00	0 00	
55405W104	MYR GROUP INC DEL		MYRG						
3502 0000	09/20/2012	05/14/2012	69,951 58	55,919 59	0 00	14,031 99	0 00	0 00	
637071101	NATIONAL-OILWELL INC COM		NOV						
810 0000	03/26/2012	Various	64,763 35	59,245 14	0 00	5,518 21	0 00	0 00	
64110D104	NETAPP INC		NTAP						
1292 0000	04/20/2012	02/28/2012	50,684 41	56,900 58	0 00	-6,216 17	0 00	0 00	
651639106	NEWMONT MINING CORP CAP COM		NEM						
1875 0000	03/29/2012	01/25/2012	95,227 80	108,873 19	0 00	-13,645 39	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

TEP77065.1.2818654

2012 Tax Information Statement

Page 14 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number: 4741968
Recipient's Tax ID Number: 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number: MA
State: MA
Questions? (800)392-9244
☐ Corrected
Revised: 03/02/2013
☐ 2nd TIN notice

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)	
N6596X109	NXP SEMICONDUCTORS NV		NXPI						
2116 0000	09/18/2012	08/16/2012	56,217 89	54,323 86	0 00	1,894 03	0 00	0 00	
678026105	OIL STATES INTERNATIONAL INC		OIS						
609 0000	01/27/2012	01/31/2011	49,065 40	41,277 53	0 00	7,787 87	0 00	0 00	
682159108	ON ASSIGNMENT INC		ASGN						
3557 0000	09/18/2012	07/05/2012	67,681 08	61,236 96	0 00	6,444 12	0 00	0 00	
682159108	ON ASSIGNMENT INC		ASGN						
3007 0000	12/19/2012	Various	59,299 71	51,387.48	0 00	7,912 23	0 00	0 00	
68554V108	ORASURE TECHNOLOGIES INC		OSUR						
1600 0000	12/03/2012	08/16/2012	12,153 97	16,781 60	0 00	4,627 63	0 00	0 00	
68554V108	ORASURE TECHNOLOGIES INC		OSUR						
3617 0000	12/04/2012	08/16/2012	27,386 58	37,936 90	0 00	-10,550 32	0 00	0 00	
723787107	PIONEER NATURAL RESOURCES CO		PXD						
245 0000	01/27/2012	05/09/2011	23,960 54	23,039 24	0 00	921 30	0 00	0 00	
723787107	PIONEER NATURAL RESOURCES CO		PXD						
294 0000	03/21/2012	05/09/2011	30,425 13	27,647 08	0 00	2,778 05	0 00	0 00	
73755L107	POTASH CORP SASK INC COM		POT						
540 0000	02/23/2012	08/12/2011	25,126 39	29,716 42	0 00	-4,590 03	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

TFFTH06-4-20-2009

2012 Tax Information Statement

Page 15 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number: 22-2757391
Payer's Federal ID Number 20-8007203
Payer's State ID Number: MA
State MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised: 03/02/2013

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)	
747525103	QUALCOMM		QCOM						
1572 0000	06/19/2012	Various	89,479 85	95,349 34	0 00	-5,869 49	0 00	0 00	
752344309	RANDGOLD RESOURCES LTD-ADR		GOLD						
1168 0000	03/29/2012	Various	101,578 68	110,611 34	0 00	-9,032 66	0 00	0 00	
780287108	ROYAL GOLD INC		RGLD						
484 0000	04/23/2012	09/13/2011	28,475 98	39,943 22	0 00	-11 467 24	0 00	0 00	
83088M102	SKYWORKS SOLUTIONS INC		SWKS						
1841 0000	10/01/2012	08/16/2012	42,155 56	54,285 38	0 00	-12,129 82	0 00	0 00	
854502101	STANLEY BLACK & DECKER INC		SWK						
590 0000	06/19/2012	03/21/2012	37,790 72	46,987 90	0 00	9,197 18	0 00	0 00	
854502101	STANLEY BLACK & DECKER INC		SWK						
848 0000	12/03/2012	03/21/2012	60,499 12	67,535 14	0 00	-7,036 02	0 00	0 00	
910047109	UNITED CONTINENTAL HOLDINGS INC		UAL						
5571 0000	08/10/2012	Various	97,496 99	119,493 04	0 00	-21,996 05	0 00	0 00	
910047109	UNITED CONTINENTAL HOLDINGS INC		UAL						
3065 0000	09/18/2012	Various	58,273 53	61,495 56	0 00	-3,222 03	0 00	0 00	
911363109	UNITED RENTALS INC		URI						
1241 0000	01/27/2012	09/07/2011	47,510 02	20,875 61	0 00	26 634 41	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.



TEP17705.4.20121015H

2012 Tax Information Statement

Page 16 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number 20-8007203
Payer's State ID Number: MA
State: MA
Questions? (800)392-9244
☐ Corrected
Revised 03/02/2013
☐ 2nd TIN notice

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)	
911363109	UNITED RENTALS INC		URI						
342 0000	02/23/2012	09/07/2011	14,230 50	5,752 99	0 00	8,477 51	0 00	0 00	
911363109	UNITED RENTALS INC		URI						
777 0000	03/13/2012	09/07/2011	32,925 63	13,070 38	0 00	19,855 25	0 00	0 00	
911363109	UNITED RENTALS INC		URI						
290 0000	03/30/2012	09/07/2011	12,404 58	4,878 26	0 00	7,526 32	0 00	0 00	
G94368100	WARNER CHILCOTT PLC-A		WCRX						
1919 0000	01/30/2012	03/17/2011	31,830 03	43,481 09	0 00	-11,651 06	0 00	0 00	
949746101	WELLS FARGO CO		WFC						
1025 0000	12/19/2012	02/03/2012	35,659 98	31,354 13	0 00	4,305 85	0 00	0 00	
98933Q108	ZELTIQ AESTHETICS INC		ZLTO						
2156 0000	03/21/2012	10/19/2011	12,873 88	33,435 68	0 00	-20,561 80	0 00	0 00	
98954A107	ZILLOW INC		Z						
1161 0000	08/10/2012	03/29/2012	43,287 72	39,654 07	0 00	3,633 65	0 00	0 00	
98954A107	ZILLOW INC		Z						
2164 0000	09/25/2012	Various	89,361 88	72,800 11	0 00	16,561 77	0 00	0 00	
989701107	ZIONS BANCORP		ZION						
4023 0000	01/25/2012	12/09/2011	69,918 39	63,256 84	0 00	6,661 55	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

TEP77456.1.14222434

2012 Tax Information Statement

Page 17 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number 20-8007203
Payer's State ID Number MA
State: MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised: 03/02/2013

Recipient's Name and Address.
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)	
989701107	ZIONS BANCORP		ZION						
3123 0000	07/31/2012	12/09/2011	56,859 18	49,105 43	0 00	7,753 75	0 00	0 00	
Total Short Term Sales Reported on 1099-B			3,975,997 59	3,670,536 64	0 00	305 460 95	0 00	0 00	
Report on Form 8949, Part I, with Box A checked									
Long Term Sales Reported on 1099-B									
018490102	ALLERGAN INC COM		AGN						
86 0000	08/29/2012	05/24/2011	7,316 40	7,076 03	0 00	240 37	0 00	0 00	
167250109	CHICAGO BRIDGE & IRON CO NV		CBI						
1382 0000	08/10/2012	03/02/2011	51,443 38	49,052 98	0 00	2,390 40	0 00	0 00	
268158102	DYNAVAX TECHNOLOGIES CORP		DVAX						
11442.0000	09/18/2012	06/29/2011	55,960 41	32,411 75	0 00	23,548 66	0 00	0 00	
268158102	DYNAVAX TECHNOLOGIES CORP		DVAX						
11539 0000	12/03/2012	Various	32,216 16	32,406 97	0 00	-190 81	0 00	0 00	
284131208	ELAN CORP PLC-SPONSORED ADR		ELN						
7507 0000	08/10/2012	05/18/2011	82,762 82	65,674 24	0 00	17,088 58	0 00	0 00	
369604103	GENERAL ELECTRIC CO		GE						
3455 0000	12/19/2012	01/21/2011	73,018 40	67,062 24	0 00	5,956 16	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

1099-B, 1/31/2013

2012 Tax Information Statement

Page 18 of 45

Payer's Name and Address:
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number 20-8007203
Payer's State ID Number:
State MA
Questions? (800)392-9244
☐ **Corrected** ☐ **2nd TIN notice**
Revised: 03/02/2013

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH STREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)	(Box 4)	(Box 4)	(Box 15)	
60689B107	M*MODAL INC		MODL						
6867 0000	07/03/2012	Various	95,953 19	62,125 45	0 00	33,827 74	0 00	0 00	
580645109	MC GRAW HILL COMPANIES INC		MHP						
1386 0000	06/19/2012	05/18/2011	61,025 18	59,886 56	0 00	1,138 62	0 00	0 00	
580645109	MC GRAW HILL COMPANIES INC		MHP						
1231 0000	11/26/2012	Various	64,878 03	50,978 99	0 00	13,899 04	0 00	0 00	
61166W101	MONSANTO CO NEW		MON						
815 0000	02/23/2012	01/11/2011	63,178 72	59,114 31	0 00	4 064 41	0 00	0 00	
61166W101	MONSANTO CO NEW		MON						
813 0000	09/18/2012	01/11/2011	71,910 75	58,969 25	0 00	12,941 50	0 00	0 00	
678026105	OIL STATES INTERNATIONAL INC		OIS						
671 0000	03/26/2012	01/31/2011	54,542 99	45,479 84	0 00	9,063 15	0 00	0 00	
780287108	ROYAL GOLD INC		RGLD						
519 0000	12/19/2012	Various	40 671 67	42,026 85	0 00	-1,355 18	0 00	0 00	
M9068E105	SODASTREAM INTERNATIONAL LTD		SODA						
2138 0000	09/18/2012	Various	83,541 54	99,127 82	0 00	-15,586 28	0 00	0 00	
M9068E105	SODASTREAM INTERNATIONAL LTD		SODA						
449 0000	12/20/2012	05/12/2011	19,649 09	20,422.45	0 00	-773 36	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

1071705.4747454

2012 Tax Information Statement

Page 19 of 45

Payer's Name and Address.
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number. 4741968
Recipient's Tax ID Number. 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number. MA
State. MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised: 03/02/2013

Recipient's Name and Address.
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)			Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed			
(Box 1e)	(Box 1a)	(Box 1b)	(Box 2a)	(Box 3)	(Box 5)		(Box 4)	(Box 15)
855244109	STARBUCKS CORP COM		SBUX					
1200 0000	12/20/2012	02/24/2011	64,837 42	38,256 84	0 00	26,580 58	0 00	0 00
Total Long Term 15% Sales Reported on 1099-B			922,906 15	790,072 57	0 00	132,833 58	0 00	0 00
Report on Form 8949, Part II, with Box A checked								

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

TEP77485_4_201304

2012 Tax Information Statement

Page 20 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number: 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number:
State: MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised 03/02/2013

Recipient's Name and Address.
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

2012 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)						
Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1a)	Date of Acquisition	Stocks Bonds, etc (Box 2a)	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
Short Term Sales Reported on 1099-B								
3135G0CM3	FNMA (FED NATL MTG) 1 25%	9/28/16	FN1216					
100000 0000	11/30/2012	03/05/2012	102,644 20	101,294 40	0 00	1,349 80	0 00	0 00
Total Short Term Sales Reported on 1099-B			102,644 20	101,294 40	0 00	1,349 80	0 00	0.00
Report on Form 8949, Part I, with Box B checked								
Long Term 15% Sales Reported on 1099-B								
018490102	ALLERGAN INC COM		AGN					
596 0000	08/29/2012	10/06/2010	50,704 39	39,833 01	0 00	10,871 38	0 00	0 00
018490102	ALLERGAN INC COM		AGN					
647.0000	09/18/2012	Various	57,933 86	42,098 81	0 00	15,835 05	0 00	0 00
037833100	APPLE COMPUTER INC COM		AAPL					
77 0000	04/23/2012	Various	44,134 32	7,450 42	0 00	36,683 90	0 00	0 00
067901108	BARRICK GOLD CORP COM		ABX					
1196 0000	04/20/2012	Various	48,290 76	55,907 75	0 00	-7,616 99	0 00	0 00
23324T107	DFC GLOBAL CORP		DLLR US					
3028 0000	01/25/2012	Various	56,380 27	57,147 50	0 00	-767 23	0 00	0 00

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. For noncovered securities shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the Internal Revenue Service. The taxpayer is ultimately responsible for the accuracy of their own tax return.

2012 Tax Information Statement

Page 21 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02208-5300

Account Number 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number 20-8007203
Payer's State ID Number MA
State: MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised: 03/02/2013

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS

Cusip	Description (Box 8)		Stock or Other Symbol (Box 1d)						
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld	
(Box 1e)	(Box 1a)		(Box 2a)				(Box 4)	(Box 15)	
23324T107	DFC GLOBAL CORP		DLLR US						
2929 0000	03/21/2012 12/20/2010		51,827 72	54,770 74	0 00	-2,943 02	0 00	0 00	
268648102	E M C CORP MASS		EMC						
697 0000	01/27/2012 09/24/2010		18,017 10	15,080 08	0 00	2,937 02	0 00	0 00	
268648102	E M C CORP MASS		EMC						
1369 0000	04/23/2012 Various		37,770 00	28,630 18	0 00	9,139 82	0 00	0 00	
268648102	E M C CORP MASS		EMC						
904 0000	09/18/2012 Various		25,085 43	17,281 48	0 00	7,803 95	0 00	0 00	
268648102	E M C CORP MASS		EMC						
2052 0000	12/19/2012 08/30/2010		53,317 76	38,332 39	0 00	14,985 37	0 00	0 00	
268648102	E M C CORP MASS		EMC						
2067 0000	12/28/2012 08/30/2010		51,549 82	38,612 59	0 00	12,937 23	0 00	0 00	
380956409	GOLDCORP INC COM		GG						
2948 0000	12/03/2012 10/20/2010		111,231 73	125 356 63	0 00	-14,124 90	0 00	0 00	
42805T105	HERTZ GLOBAL HOLDINGS INC		HTZ						
3566 0000	03/13/2012 Various		52,554 40	43,067 84	0 00	9,486 56	0 00	0 00	
42805T105	HERTZ GLOBAL HOLDINGS INC		HTZ						
5442 0000	09/18/2012 11/04/2010		78,081.14	65,194 61	0 00	12,886 53	0 00	0 00	
580135101	MCDONALDS CORP COM		MCD						
280 0000	02/06/2012 Various		27,831 49	21,203 80	0 00	6,627 69	0 00	0 00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. For noncovered securities shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the Internal Revenue Service. The taxpayer is ultimately responsible for the accuracy of their own tax return.

1591745.426884

2012 Tax Information Statement

Page 22 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number 22-2757391
Payer's Federal ID Number 20-8007203
Payer's State ID Number MA
State: MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised: 03/02/2013

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
(Box 1e)	(Box 1a)	(Box 2a)									
580135101	MCDONALDS CORP COM	MCD	484 0000	02/07/2012	08/03/2010	48,757 22	33,987 93	0 00	14,769 29	0 00	0 00
580135101	MCDONALDS CORP COM	MCD	119 0000	09/18/2012	08/03/2010	11,032 78	8,358 54	0 00	2,676 24	0 00	0 00
73755L107	POTASH CORP SASK INC COM	POT	241 0000	02/23/2012	10/29/2010	11,213 82	11,758 36	0 00	544 54	0 00	0 00
73755L107	POTASH CORP SASK INC COM	POT	1080 0000	09/18/2012	10/29/2010	45,894 11	52,693 05	0 00	-6,798 94	0 00	0 00
73755L107	POTASH CORP SASK INC COM	POT	1346 0000	10/02/2012	10/29/2010	57,020 53	65,671 16	0 00	-8 650 63	0 00	0 00
781846209	RUSH ENTERPRISESINC	RUSHA	210 0000	04/20/2012	10/26/2010	4,114 44	3,368 21	0 00	746 23	0 00	0 00
781846209	RUSH ENTERPRISESINC	RUSHA	860 0000	04/23/2012	10/26/2010	16,043 70	13,793 63	0 00	2,250 07	0 00	0 00
781846209	RUSH ENTERPRISESINC	RUSHA	1190 0000	04/23/2012	10/26/2010	22,232 27	19,086 53	0 00	3,145 74	0 00	0 00
781846209	RUSH ENTERPRISESINC	RUSHA	1066 0000	04/24/2012	10/26/2010	20,003 04	17,097 68	0 00	2,905 36	0 00	0 00
806857108	SCHLUMBERGER LTD	SLB	1189 0000	03/21/2012	11/23/2010	87,945 05	88,196 69	0 00	251 64	0 00	0 00



This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. For noncovered securities shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the Internal Revenue Service. The taxpayer is ultimately responsible for the accuracy of their own tax return.

TEP7705, 4/28/2014

2012 Tax Information Statement

Page 23 of 45

Payer's Name and Address:
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number 4741968
Recipient's Tax ID Number: 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number:
State: MA
Questions? (800)392-9244
☐ **Corrected**
Revised: 03/02/2013
☐ **2nd TIN notice**

Recipient's Name and Address
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stocks Bonds, etc (Box 2a)	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
(Box 1e)	(Box 1a)										
911363109	UNITED RENTALS INC	URI									
403 0000	03/30/2012 09/10/2010					17,238 10	5,480 48	0 00	11,757 62	0 00	0 00
911363109	UNITED RENTALS INC	URI									
815 0000	04/23/2012 09/10/2010					36,038 49	11,083.35	0 00	24,955 14	0 00	0 00
911363109	UNITED RENTALS INC	URI									
1506 0000	09/18/2012 09/10/2010					52,881 70	20,480 40	0 00	32,401 30	0 00	0 00
911363109	UNITED RENTALS INC	URI									
1623 0000	09/25/2012 09/10/2010					56,420 86	22,071 50	0 00	34,349 36	0 00	0 00
912828MQ0	US TREASURY NOTES 0 875% 2/29/12	UTN0812A									
100000 0000	02/29/2012 10/18/2010					100,000 00	100,804 69	0 00	804 69	0 00	0 00
912828MG2	US TREASURY NOTES 1 375% 1/15/13	UTN1313									
50000 0000	12/28/2012 08/17/2010					50,027 34	50,875 00	0 00	-847 66	0 00	0 00
912828KP4	US TREASURY NOTES 1 375% 5/15/12	UTN1312C									
50000 0000	05/15/2012 03/19/2010					50,000 00	50,326 17	0 00	-326 17	0 00	0 00
912828HC7	US TREASURY NOTES 4 125% 8/31/12	UTN0012									
200000 0000	08/31/2012 07/15/2009					200,000 00	215,375 00	0 00	-15,375 00	0 00	0 00
912828HE3	US TREASURY NOTES 4 25% 9/30/12	UTN4212									
200000 0000	09/30/2012 06/24/2009					200,000 00	215,375 00	0 00	-15,375 00	0 00	0 00
G94368100	WARNER CHILCOTT PLC-A	WCRX									
1468 0000	01/30/2012 Various					24,349 39	35,723 64	0 00	-11,374 25	0 00	0 00
Total Long Term 15% Sales Reported on 1099-B						1,875,923 03	1,691,572 84	0 00	184,350 19	0 00	0 00

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. For noncovered securities shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the Internal Revenue Service. The taxpayer is ultimately responsible for the accuracy of their own tax return.

TEP1706-4,230,000,000

2012 Tax Information Statement

Page 24 of 45

Payer's Name and Address
STATE STREET BANK & TRUST COMPANY
WMS TAX DEPARTMENT
PO BOX 5300
BOSTON, MA 02206-5300

Account Number: 4741968
Recipient's Tax ID Number: 22-2757391
Payer's Federal ID Number: 20-8007203
Payer's State ID Number: MA
State: MA
Questions? (800)392-9244
☐ Corrected ☐ 2nd TIN notice
Revised 03/02/2013

Recipient's Name and Address:
THE NEW ENGLAND FOUNDATION
C/O JESSICA WOODLAND
ESSEX INVESTMENT MANAGEMENT CO LLC
125 HIGH SREET
BOSTON, MA 02110-2702

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Stocks Bonds, etc	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
Quantity Sold	Date of Sale or Exchange	Date of Acquisition						
(Box 1e)	(Box 1a)		(Box 2a)				(Box 4)	(Box 15)

Report on Form 8949, Part II, with Box B checked

TEP77065-1.251316M



This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. For noncovered securities shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the Internal Revenue Service. The taxpayer is ultimately responsible for the accuracy of their own tax return.

FORM 8688

EXPLANATION FOR EXTENSION

STATEMENT

7

EXPLANATION

AN ATTEMPT TO OBTAIN INFORMATION NECESSARY FOR FILING A RETURN WAS REQUESTED IN A TIMELY FASHION, BUT THE INFORMATION WAS NOT FURNISHED IN SUFFICIENT TIME TO PERMIT THE TIMELY FILING OF THE RETURN, OR THE TAXPAYER PERSONALLY VISITED AN IRS OFFICE FOR THE PURPOSE OF SECURING INFORMATION OR ADVICE AND WAS UNABLE TO MEET WITH AN IRS REPRESENTATIVE

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

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).

Enter filer's identifying number, see instructions

Type or print File by the due date for filing your return See instructions	Name of exempt organization or other filer, see instructions THE NEW ENGLAND FOUNDATION C/O JOSEPH MCNAY	Employer identification number (EIN) or 22-2757391
	Number, street, and room or suite no. If a P.O. box, see instructions. 125 HIGH STREET	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. BOSTON, MA 02110	

Enter the Return code for the return that this application is for (file a separate application for each return)

0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

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

JOSEPH MCNAY

• The books are in the care of **125 HIGH STREET - BOSTON, MA 02110**

Telephone No **617-432-3200**

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, 2013**.

5 For calendar year **2012**, or other tax year beginning , and ending .

6 If the tax year entered in line 5 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 **SEE STATEMENT 7**

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	\$	23,716.
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	\$	23,716.
c Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

Signature and Verification must be completed for Part II only.

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

Date

Form 8868 (Rev. 1-2013)