

Form **990-PF**
 Department of the Treasury
 Internal Revenue Service

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

▶ **Do not enter social security numbers on this form as it may be made public.**
 ▶ **Go to www.irs.gov/Form990PF for instructions and the latest information.**

OMB No 1545-0052
2019
Open to Public Inspection

For calendar year 2019, or tax year beginning 01-01-2019, and ending 12-31-2019

Name of foundation SHEA MARY E EST TR UW		A Employer identification number 06-6029604
Number and street (or P O box number if mail is not delivered to street address) P O BOX 1802	Room/suite	B Telephone number (see instructions) (888) 866-3275
City or town, state or province, country, and ZIP or foreign postal code PROVIDENCE, RI 029011802		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign 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) ▶ \$ <u>4,508,858</u>	J Accounting method: <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ <i>(Part I, column (d) must be on cash basis)</i>	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I	Analysis of Revenue and Expenses <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</i>	(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 (attach schedule)				
	2 Check <input checked="" 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	98,297	98,461		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	148,586			
	b Gross sales price for all assets on line 6a	1,377,559			
	7 Capital gain net income (from Part IV, line 2)		148,586		
	8 Net short-term capital gain			0	
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)	1,139	10,520			
12 Total. Add lines 1 through 11	248,022	257,567			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	28,973	17,384		11,589
	14 Other employee salaries and wages		0	0	0
	15 Pension plans, employee benefits		0	0	
	16a Legal fees (attach schedule)				0
	b Accounting fees (attach schedule)	1,250	750	0	500
	c Other professional fees (attach schedule)	6,222			6,222
	17 Interest				0
	18 Taxes (attach schedule) (see instructions)	8,047	2,171		0
	19 Depreciation (attach schedule) and depletion	0	0		
	20 Occupancy				
	21 Travel, conferences, and meetings		0	0	
	22 Printing and publications		0	0	
	23 Other expenses (attach schedule)	1,154	1,164		
	24 Total operating and administrative expenses. Add lines 13 through 23	45,646	21,469	0	18,311
	25 Contributions, gifts, grants paid	185,000			185,000
26 Total expenses and disbursements. Add lines 24 and 25	230,646	21,469	0	203,311	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	17,376				
b Net investment income (if negative, enter -0-)		236,098			
c Adjusted net income (if negative, enter -0-)			0		

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		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	148,490	265,768	265,768
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____		0	0
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____ 0			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	3,713,553	3,576,434	4,243,090
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)			0
	14 Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15 Other assets (describe ▶ _____)				
16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,862,043	3,842,202	4,508,858	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ <input type="checkbox"/> and complete lines 24, 25, 29 and 30.			
	24 Net assets without donor restrictions			
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here ▶ <input checked="" type="checkbox"/> and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds	3,862,043	3,842,202	
	27 Paid-in or capital surplus, or land, bldg , and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds			
29 Total net assets or fund balances (see instructions)	3,862,043	3,842,202		
30 Total liabilities and net assets/fund balances (see instructions) .	3,862,043	3,842,202		

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 29 (must agree with end-of-year figure reported on prior year's return)	1	3,862,043
2 Enter amount from Part I, line 27a	2	17,376
3 Other increases not included in line 2 (itemize) ▶ _____	3	0
4 Add lines 1, 2, and 3	4	3,879,419
5 Decreases not included in line 2 (itemize) ▶ _____	5	37,217
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 .	6	3,842,202

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 See Additional Data Table			
b			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a See Additional Data Table			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(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	
a See Additional Data Table			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	2	148,586
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) (see instructions) If (loss), enter -0- in Part I, line 8	3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? Yes No
 If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2018	189,977	4,224,800	0.044967
2017	200,403	4,116,950	0.048678
2016	201,753	3,812,588	0.052918
2015	213,553	4,024,707	0.053061
2014	215,446	4,240,205	0.05081

2 Total of line 1, column (d)	2	0.250434
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years	3	0.050087
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	4,211,747
5 Multiply line 4 by line 3	5	210,954
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,361
7 Add lines 5 and 6	7	213,315
8 Enter qualifying distributions from Part XII, line 4	8	203,311

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.

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

Table with 11 rows for excise tax calculations. Includes categories like 'Exempt operating foundations', 'Domestic foundations', and 'Tax based on investment income'. Total amount due is 1,154.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political campaigns, political expenditures, and state reporting. Columns for 'Yes' and 'No' are provided for each question.

Part VII-A Statements Regarding Activities (continued)

Table with 3 columns: Question, Yes, No. Rows 11-13 regarding controlled entities, distribution to donor advised funds, and public inspection requirements.

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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

Table with 3 columns: Question, Yes, No. Row 16 regarding interest in foreign countries.

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.

Main table with 3 columns: Question, Yes, No. Rows 1a-4b regarding Form 4720 exceptions and requirements.

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

3 Five highest-paid independent contractors for professional services (see instructions). 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	
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

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

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	4,073,510
b	Average of monthly cash balances.	1b	202,375
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	4,275,885
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	4,275,885
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	64,138
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4,211,747
6	Minimum investment return. Enter 5% of line 5.	6	210,587

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	210,587
2a	Tax on investment income for 2019 from Part VI, line 5.	2a	4,722
b	Income tax for 2019 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	4,722
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	205,865
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	205,865
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	205,865

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	203,311
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	203,311
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. See instructions.	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	203,311

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.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2018	(c) 2018	(d) 2019
1 Distributable amount for 2019 from Part XI, line 7				205,865
2 Undistributed income, if any, as of the end of 2019				
a Enter amount for 2018 only.			21,033	
b Total for prior years 20___, 20___, 20___		0		
3 Excess distributions carryover, if any, to 2019				
a From 2014.	0			
b From 2015.	0			
c From 2016.	0			
d From 2017.	0			
e From 2018.	0			
f Total of lines 3a through e.	0			
4 Qualifying distributions for 2019 from Part XII, line 4 ▶ \$ <u>203,311</u>				
a Applied to 2018, but not more than line 2a			21,033	
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 2019 distributable amount.				182,278
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2019 (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:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0			
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 2018 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2019 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2020				23,587
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).	0			
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions).	0			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a	0			
10 Analysis of line 9				
a Excess from 2015.	0			
b Excess from 2016.	0			
c Excess from 2017.	0			
d Excess from 2018.	0			
e Excess from 2019.	0			

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2019, enter the date of the ruling. ▶

b Check box to indicate whether the organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

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

	Tax year				(e) Total
	(a) 2019	(b) 2018	(c) 2017	(d) 2016	
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

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))

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

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. to individuals or organizations under other conditions, complete items 2a, b, c, and d. See instructions

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

BANK OF AMERICA N A
101 EAST RIVER DRIVE
EAST HARTFORD, CT 06108
(860) 244-4870

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

SEE ATTACHED APPLICATION

c Any submission deadlines

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

APPLICATIONS ARE ONLY ACCEPTED FROM CHARITABLE ORGANIZATIONS BASED IN NEW LONDON, CT OR THAT SUPPORT A HIGH PERCENTAGE OF NEW LONDON RESIDENTS

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 <i>Paid during the year</i> See Additional Data Table				
Total ▶ 3a				185,000
b <i>Approved for future payment</i>				
Total ▶ 3b				

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
7667 974 INVESCO BALANCED-RISK ALLOCATION FUND CL R6		2018-02-01	2019-01-31
3542 207 AQR MANAGED FUTURES STRATEGY FUND CL I		2016-06-30	2019-01-31
460 662 AQR MANAGED FUTURES STRATEGY FUND CL I		2016-10-18	2019-01-31
693 788 AQR MANAGED FUTURES STRATEGY FUND CL I		2017-10-02	2019-01-31
7493 93 BLACKSTONE ALTERNATIVE MULTI- STRATEGY FUND-ISTL		2018-12-03	2019-01-31
3505 641 BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO INSTL CL		2018-02-01	2019-01-31
5588 778 BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO INSTL CL		2017-10-02	2019-01-31
1044 946 BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO INSTL CL		2017-05-31	2019-01-31
2017 649 BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO INSTL CL		2017-02-02	2019-01-31
11520 136 BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO INSTL CL		2016-06-30	2019-01-31

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
81,817		84,578	-2,761
29,082		36,839	-7,757
3,782		4,561	-779
5,696		6,098	-402
79,810		80,185	-375
34,005		35,292	-1,287
54,211		55,710	-1,499
10,136		10,342	-206
19,571		19,868	-297
111,745		111,253	492

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(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	
			-2,761
			-7,757
			-779
			-402
			-375
			-1,287
			-1,499
			-206
			-297
			492

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
395 6 AGGREGATE BOND CTF		2019-04-30	2019-06-14
158 857 AGGREGATE BOND CTF		2013-09-30	2019-06-14
45 9 SMALL CAP GROWTH LEADERS CTF		2019-01-31	2019-06-14
189 713 EMERGING MARKETS STOCK COMMON TRUST FUND		2018-06-30	2019-06-30
472 688 EMERGING MARKETS STOCK COMMON TRUST FUND		2014-02-28	2019-06-30
225 543 MID CAP GROWTH CTF		2019-01-31	2019-06-14
469 INVESCO DB COMMODITY INDEX TRACKING FUND		2018-06-29	2019-01-31
9678 INVESCO DB COMMODITY INDEX TRACKING FUND		2018-01-31	2019-01-31
1541 INVESCO DB COMMODITY INDEX TRACKING FUND		2016-05-31	2019-01-31
370 INVESCO DB COMMODITY INDEX TRACKING FUND		2017-05-31	2019-01-31

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
6,683		6,575	108
2,684		2,619	65
1,584		1,505	79
11,029		11,144	-115
27,479		24,939	2,540
9,520		8,785	735
7,329		7,375	-46
151,226		146,188	5,038
24,079		19,850	4,229
5,782		4,675	1,107

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(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	
			108
			65
			79
			-115
			2,540
			735
			-46
			5,038
			4,229
			1,107

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
76 INVESCO DB COMMODITY INDEX TRACKING FUND		2017-06-16	2019-01-31
1663 542 CATALYST/MILLBURN HEDGE STRATEGY FUND CL I		2018-02-01	2019-01-31
1725 206 CATALYST/MILLBURN HEDGE STRATEGY FUND CL I		2017-10-02	2019-01-31
310 214 PRINCIPAL MIDCAP BLEND FUND INSTL CL		2017-02-02	2019-06-14
667 SPDR BLOOMBERG BARCLAYS HIGH YIELD BOND ETF		2019-01-31	2019-06-04
901 VANGUARD FTSE DEVELOPED MARKETS ETF		2017-01-31	2019-01-31
1006 VANGUARD FTSE DEVELOPED MARKETS ETF		2017-01-31	2019-06-28
53 VANGUARD FTSE EMERGING MKTS ETF		2018-05-18	2019-06-28
222 VANGUARD FTSE EMERGING MKTS ETF		2018-06-29	2019-06-28
800 VANGUARD FTSE EMERGING MKTS ETF		2016-05-31	2019-06-28

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
1,188		923	265
51,653		52,901	-1,248
53,568		54,430	-862
8,984		7,212	1,772
71		71	
35,891		34,123	1,768
41,892		38,100	3,792
2,249		2,385	-136
9,422		9,356	66
33,954		27,043	6,911

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(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	
			265
			-1,248
			-862
			1,772
			1,768
			3,792
			-136
			66
			6,911

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 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)
31 VANGUARD S&P 500 ETF		2018-05-18	2019-06-14
6 VANGUARD S&P 500 ETF		2018-03-29	2019-06-14
77 VANGUARD S&P 500 ETF		2016-01-08	2019-06-14
31 VANGUARD S&P 500 ETF		2016-01-08	2019-12-31
3692 262 WELLS FARGO ABSOLUTE RETURN FUND INSTL CL		2016-01-08	2019-01-31
412 814 INTERNATIONAL FOCUSED EQUITY COMMON TRUST FUND		2018-06-30	2019-06-14
1702 809 INTERNATIONAL FOCUSED EQUITY COMMON TRUST FUND		2013-03-08	2019-06-14
3450 229 INTERNATIONAL FOCUSED EQUITY COMMON TRUST FUND		2013-03-08	2019-06-30
9362 948 STRATEGIC GROWTH COMMON TRUST FUND		2013-04-30	2019-04-30
747 198 LARGE CAP CORE CTF		2018-01-31	2019-06-14

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
8,225		7,730	495
1,592		1,450	142
20,429		13,683	6,746
9,136		5,509	3,627
40,393		36,221	4,172
5,469		5,733	-264
22,557		20,174	2,383
47,532		40,959	6,573
188,998		174,838	14,160
7,644		7,467	177

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(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	
			495
			142
			6,746
			3,627
			4,172
			-264
			2,383
			6,573
			14,160
			177

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 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)
1029 005 MID CAP CORE CTF		2018-01-31	2019-06-14
CAPITAL GAIN DIVIDENDS	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	Depreciation allowed (f) (or allowable)	Cost or other basis (g) plus expense of sale	Gain or (loss) (h) (e) plus (f) minus (g)
10,484		10,284	200
			12,754

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(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	
			200

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
CHILD & FAMILY AGENCY OF SE CT 255 HEMPSTEAD ST NEW LONDON, CT 06320	N/A	PC	MISSION AFTERSCHOOL SUMMER	9,000
CHILD & FAMILY AGENCY SE CT 255 HEMPSTEAD ST NEW LONDON, CT 06320	N/A	PC	NEW LONDON DAY NURSERY	8,000
CATHOLIC CHARITIES NORWICH DIOCESE331 MAIN ST NORWICH, CT 06360	N/A	PC	EMERGENCY BASIC NEEDS	12,000
Total ▶ 3a				185,000

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
NEW LONDON CITY 120 BROAD ST NEW LONDON, CT 06320	N/A	PC	EARLY CHILDHOOD FAMILY	8,000
EASTERN CT SYMPHONY INC 289 STATE ST NEW LONDON, CT 06320	N/A	PC	ECSO MUSIC IN THE SCHOOLS	5,000
EXPRESSIONES CULTURAL CENTER 84 BANK ST NEW LONDON, CT 06320	N/A	PC	ARTVENTURE PROGRAM	3,000
Total				185,000

▶ 3a

Form 990PF Part XV Line 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 <i>Paid during the year</i>				
HIGHER EDGE INC35 REDDEN AVE NEW LONDON, CT 06320	N/A	PC	UNRESTRICTED GENERAL	5,000
NEW ENGLAND SCIENCE & SAILING FOUNDATIONPO BOX 733 STONINGTON, CT 06378	N/A	PC	NESS-NEW LONDON INITIATIVE	4,000
NEW LONDON HOMELESS HOSPITALITY CENTER 730 STATE PIER RD NEW LONDON, CT 06320	N/A	PC	RAPID REHOUSING EMPLOYMENT	11,000
Total				185,000

▶ **3a**

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
PUBLIC LIBRARY OF NEW LONDON 63 HUNTINGTON ST NEW LONDON, CT 06320	N/A	PC	UNRESTRICTED GENERAL	42,000
SAFE FUTURES INC16 JAY STREET NEW LONDON, CT 06320	N/A	PC	GENESIS HOUSE EMERGENCY	10,000
ST MARY STAR OF THE SEA 10 HUNTINGTON ST NEW LONDON, CT 06320	N/A	PC	SMSS 2018 REPAIR PROJECT	30,000
Total ▶ 3a				185,000

Form 990PF Part XV Line 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 <i>Paid during the year</i>				
NEW LONDON COMMUNITY MEAL CTR 12 MONTAUK AVE NEW LONDON, CT 06320	N/A	PC	UNRESTRICTED GENERAL	10,000
HIGH HOPES THERAPEUTIC RIDING 36 TOWN WOODS RD OLD LYME, CT 063711142	N/A	PC	FINANCIAL AID PROGRAM	5,000
NEW LONDON AREA FOOD 106 TRUMAN ST NEW LONDON, CT 063205680	N/A	PC	FEEDING THE FOOD INSECURE	9,000
Total ▶ 3a				185,000

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
THAMES RIVER COMMUNITY SERVICE INCONE THAMES RIVER PLACE NORWICH, CT 06360	N/A	PC	BREAKING CYCLE OF CHILDHOOD	3,000
THAMES VALLEY COUNCIL FOR COMMUNITY ACTION INC ONE SYLVAN DALE RD JEWITT CITY, CT 06351	N/A	PC	MEALS ON WHEELS	7,000
THE CENTER A DROP IN COMM LEARNING & RESOURCE CENTER 76 FEDERAL ST NEW LONDON, CT 06320	N/A	PC	OUT OF SCHOOL ENRICHMENT	4,000
Total ▶ 3a				185,000

TY 2019 Accounting Fees Schedule**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPARATION FEE - BOA	1,250	750		500

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2019 Gain/Loss from Sale of Other Assets Schedule

Name: SHEA MARY E EST TR UW

EIN: 06-6029604

Gain Loss Sale Other Assets Schedule

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
469 INVESCO	2019-01		2018-06	PURCHASER	7,329	7,375			-46	
9678 INVESC	2019-01		2018-01	PURCHASER	151,226	146,188			5,038	
1541 INVESC	2019-01		2016-05	PURCHASER	24,079	19,850			4,229	
370 INVESCO	2019-01		2017-05	PURCHASER	5,782	4,675			1,107	
76 INVESCO	2019-01		2017-06	PURCHASER	1,188	923			265	

TY 2019 General Explanation Attachment**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604**General Explanation Attachment**

Identifier	Return Reference	Explanation	
1	FEDERAL FOOTNOTE	PART VIII LIST OF OFFICERS AND DIRECTORS	THE COMPENSATION SHOWN ON THE RETURN THAT IS PAID TO BANK OF AMERICA, N A AS CORPORATE TRUSTEE IS NOT CALCULATED BASED UPON AN HOURLY RATE FOR THE TIME SPENT BY THE TRUSTEE, RATHER, BANK OF AMERICA'S COMPENSATION AS CORPORATE TRUSTEE IS CALCULATED USING A MARKET VALUE FEE SCHEDULE. THE TRUST OFFICER'S TIME SPENT PERFORMING ADMINISTRATIVE RESPONSIBILITIES FOR THIS FOUNDATION AVERAGES ONE HOUR PER WEEK. IN ADDITION, TIME IS SPENT BY OTHER STAFF MEMBERS FOR RECORDKEEPING, INVESTMENT MANAGEMENT, INCOME COLLECTION, RENDERING STATEMENTS AND ACCOUNTINGS, REGULATORY REPORTING, REGULATORY COMPLIANCE, AND TAX SERVICES

TY 2019 Investments Corporate Stock Schedule**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604**Investments Corporation Stock Schedule**

Name of Stock	End of Year Book Value	End of Year Fair Market Value
464287507 ISHARES CORE S&P MID	115,224	178,858
464287655 ISHARES RUSSELL 2000	91,862	158,381
921943858 VANGUARD FTSE DEVELO	204,206	245,194
922042858 VANGUARD FTSE EMERGI	45,702	65,771
693390841 PIMCO HIGH YIELD FD	41,557	44,075
202671913 AGGREGATE BOND CTF	407,154	424,541
207543877 SMALL CAP GROWTH LEA	80,280	94,201
29099J109 EMERGING MARKETS STO	145,918	165,327
302993993 MID CAP VALUE CTF	128,317	137,361
303995997 SMALL CAP VALUE CTF	80,565	86,931
323991307 MID CAP GROWTH CTF	115,291	134,136
45399C107 DIVIDEND INCOME COMM	292,311	325,492
99Z466197 INTERNATIONAL FOCUSE	207,988	246,729
99Z501647 STRATEGIC GROWTH COM		
464287226 ISHARES CORE US AGGR	202,513	211,256
922908363 VANGUARD S&P 500 ETF	276,145	459,673
00203H859 AQR MANAGED FUTURES		
94987W737 WELLS FARGO ABSOLUTE		
62827P816 CATALYST/MILLBURN HE		
74253Q747 PRINCIPAL MIDCAP BLE	99,482	132,257
46138B103 INVESCO DB COMMODITY		
09257V201 BLACKSTONE ALTERNATI		
09260B382 BLACKROCK STRATEGIC		
00142R539 INVESCO BALANCED-RIS		
99Z639934 LARGE CAP CORE CTF	196,011	233,940
99Z639942 MID CAP CORE CTF	164,295	180,196
99Z639959 SMALL CAP CORE CTF	195,433	203,577
78468R622 SPDR BLOOMBERG BARCL	40,358	41,625
92203J407 VANGUARD TOTAL INTL	80,776	83,286
52469H784 CLEARBRIDGE LARGE CA	138,230	152,491

Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
77954Q403 ROWE T PRICE BLUE CH	146,212	157,637
693390882 PIMCO FOREIGN BD US\$	80,604	80,155

TY 2019 Other Decreases Schedule**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604

Description	Amount
INCOME ADJUSTMENT	9,172
ADJUST CARRYING VALUE	24,418
SALES ADJUSTMENT	3,627

TY 2019 Other Expenses Schedule**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
OTHER ALLOCABLE EXPENSE-PRINCI	484	484		0
OTHER ALLOCABLE EXPENSE-INCOME	484	484		0
OTHER INVESTMENT FEE	186	186		0
FROM PARTNERSHIP/S-CORP		10		0

TY 2019 Other Income Schedule**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
EXCISE TAX REFUND	1,139	0	
FROM PARTNERSHIP/S-CORP		10,520	

TY 2019 Other Professional Fees Schedule**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
GRANTMAKING FEES - BOA	6,222			6,222

TY 2019 Taxes Schedule**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES	1,353	1,353		0
EXCISE TAX ESTIMATES	5,876	0		0
FOREIGN TAXES ON QUALIFIED FOR	562	562		0
FOREIGN TAXES ON NONQUALIFIED	256	256		0

**THE JAMES P. & MARY E. SHEA PERPETUAL TRUST
GRANT APPLICATION SUMMARY**

Date Received: _____ **Date Organization Established:** _____
Organization: _____ **Tax Status:** _____
Address: _____ **Tax ID#** _____

Description or Organization/Agency:

Principals/Titles(Exec. Dir. and President of Board):

E:mail address:

Shea Amount Request:

Purpose:

Served: _____ **% City of New London**

Grants Received for this project by the Applicant (within the last 12 months):

<u>Date Received</u>	<u>Amount Requested</u>	<u>Funds Provided By</u>
----------------------	-------------------------	--------------------------

Grants for the Project Applied for:

<u>Date:</u>	<u>Amount Requested</u>	<u>Organization Application(s) is Pending:</u>
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Financial Summary:

	<u>Prior FY</u>	<u>Current FY</u>
Cash and Cash Equivalents		
Total Assets		
Total Liabilities		
Unrestricted Fund Balance		
Restricted Funds		

Brief Financial Analysis:

THE JAMES P. & MARY E. SHEA PERPETUAL TRUST
GRANT APPLICATION

Date: _____

Name of Organization and address of principal office*.

Phone: _____ FAX: _____

E:mail _____

*If local chapter of a National Organization, please note _____

Salaried Executive Director or Secretary (if any, state title):

Number of
full-time employees: _____ part time employees: _____ volunteers _____

Principal services and purposes of Organization:

Number of clients served annually and percentage breakdown by geographic area:

Number of persons served annually _____

Number served by current proposal _____

City of New London _____% New London County _____%

Balance of Connecticut _____% (please specify region) _____