

SHIVERY CHARLES W  
Form 4  
February 04, 2013

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
SHIVERY CHARLES W

2. Issuer Name and Ticker or Trading Symbol  
NORTHEAST UTILITIES [NU]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
C/O NORTHEAST UTILITIES, 56  
PROSPECT STREET

3. Date of Earliest Transaction  
(Month/Day/Year)  
01/31/2013

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  Other (specify below)  
Non-Exec Chmn of Bd; Trustee

(Street)  
HARTFORD, CT 06103

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D) Code V Amount (D) Price                                |   |  |                                   |
| Common Shares, \$5.00 par value | 02/01/2013                           |  | X                              | 55 <sup>(1)</sup> A <u>1</u>                                      | 635,544 <sup>(2)</sup>  | D  |                                   |
| Common Shares, \$5.00 par value | 02/01/2013                           |  | D                              | 55 <sup>(3)</sup> D \$ 41.18                                      | 635,489 <sup>(2)</sup>  | D  |                                   |
| Common Shares, \$5.00 par value |                                      |  |                                |   | 2,381 <sup>(4)</sup>  | I  | By 401(k) Plan Trustee            |

Edgar Filing: SHIVERY CHARLES W - Form 4

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(9-02)

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

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) |                            |                     |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------------------------|---------------------|
|  |  |                                      |  |                                |   | Date Exercisable   | Expiration Date   | Title                                      | Amount or Number of Shares |                     |
|  |  |                                      |  |                                |   | Code   | V   | (A)  | (D)                        |                     |
| Phantom Shares                             | (5)  | 01/31/2013                           | (5)  | A                              | 55<br>(1)   | (5)  | (5)   | Common Shares, \$5.00 par value            | 55 (1)                     | \$<br>36.465<br>(6) |
| Phantom Shares                             | (5)  | 02/01/2013                           | (5)  | X                              | 55<br>(1)   | (5)  | (5)   | Common Shares, \$5.00 par value            | 55 (1)                     | (1)                 |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |         |                              |
|--|---------------|-----------|---------|------------------------------|
|  | Director      | 10% Owner | Officer | Other                        |
| SHIVERY CHARLES W<br>C/O NORTHEAST UTILITIES<br>56 PROSPECT STREET<br>HARTFORD, CT 06103 |               |           |         | Non-Exec Chmn of Bd; Trustee |

## Signatures

Charles W. Shivery 02/04/2013

\*\*Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Matching contributions on Reporting Person's 2012 deferred compensation contributions under the Northeast Utilities Deferred Compensation Plan for Executives, a non-qualified deferred compensation plan (the "Plan"), that are nominally invested as common

(1) shares. Each phantom share represents the right to receive cash value of one Northeast Utilities common share upon a distribution event, following vesting. Additional phantom shares are issued upon the automatic reinvestment of dividend-equivalents exempt from line item reporting under SEC Rule 16a-11.

(2) Includes restricted share units and dividend equivalents thereon. The Reporting Person holds 1,500 of these shares jointly with his spouse.

Distribution from the Plan in respect of matching contributions on Reporting Person's 2012 deferred compensaton, on February 1, 2013.

(3) Previously, on October 11, 2012, in connection with his retirement from employee service with Northeast Utilities, the Reporting Person became entitled to a distribution of his entire account in the Plan.

(4) Shares held in trust under the Northeast Utilities Service Company 401k Plan, a qualified plan, according to information supplied by the plan's record keeper.

Reporting Person's deferred compensation under the Plan, that is nominally invested as common shares. Each phantom share represents

(5) the right to receive the cash value of one NU common share upon a distribution event, following vesting. Additional phantom shares are issued upon the automatic reinvestment of dividend-equivalents exempt from line item reporting under SEC Rule 16a-11.

The price in Column 8 is a weighted average price. These matching shares were determined at prices per share ranging from \$35.92 to

(6) \$36.89, inclusive. The Reporting Person undertakes to provide to Northeast Utilities, any security holder of Northeast Utilities, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares determined at each price within the range.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.