

SWOPE JOHN F
Form 4
January 06, 2003

OMB APPROVAL

☐

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

See Instruction 1(b).

FORM 4

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

**STATEMENT OF
CHANGES IN
BENEFICIAL
OWNERSHIP**

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

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

1. Name and Address of Reporting Person* Swope John F. (Last) (First) (Middle) c/o Northeast Utilities 107 Selden Street (Street) Berlin, CT 06037			2. Issuer Name and Ticker or Trading Symbol NORTHEAST UTILITIES (NU)		6. Relationship of Reporting Person(s) to Issuer (Check all applicable) ☒ Director* ☐ 10% Owner ☐ Officer (give title below) ☐ Other (specify below) *Trustee		
			3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)		4. Statement for Month/Day/Year 01/02/2003		
			5. If Amendment, Date of Original (Month/Day/Year)		7. 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 & 5)	5. Amount of Securities Beneficially Owned Following Reported Transactions(s) (Instr. 3 & 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4) Code V

							Amount
							(A) or (D)
							Price
							Common Shares, \$5 par value
							1/2/2003
							A
							1,000 shs
							A
							\$15.22
							9,861 shs
							D

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

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

[illegible]

Note 1. 50 percent on 2/26/2002, 50 percent on 2/26/2003.

Date _____

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

4

Edgar Filing: SWOPE JOHN F - Form 4

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 Number.