

SWOPE JOHN F  
Form 4  
November 16, 2009

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

OMB APPROVAL

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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 \*  
SWOPE JOHN F

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_ Director  
\_\_\_ Officer (give title below) \_\_\_X\_\_\_ Other (specify below)  
\_\_\_ 10% Owner  
\_\_\_ Trustee

(Last) (First) (Middle)  
C/O NORTHEAST UTILITIES, ONE FEDERAL STREET, BUILDING 111-4  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
11/12/2009

SPRINGFIELD, MA 01105

(City) (State) (Zip)

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

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

**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 Indirect Beneficial Ownership (Instr. 4)	
				(A) or (D)	Price			
				Code	V	Amount		
Common Shares, \$5.00 par value	11/12/2009		M	2,500 <sup>(1)</sup>	A	\$ 18.438	36,455	D
Common Shares, \$5.00 par value	11/12/2009		S	1,971	D	\$ 23.482	34,484 <sup>(2)</sup>	D

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

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(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)
Employee Stock Option (right to buy)	\$ 18.438	11/12/2009		M	2,500	02/22/2001 <sup>(1)</sup> 02/22/2010	Common Shares, \$5.00 par value

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SWOPE JOHN F C/O NORTHEAST UTILITIES ONE FEDERAL STREET, BUILDING 111-4 SPRINGFIELD, MA 01105				Trustee

## Signatures

John F. Swope, By: O. Kay  
Comendul/POA 11/16/2009

\*\*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).

(1) The options exercised to purchase 2,500 Common Shares were granted on February 22, 2000 and vested 50% on that date and 50% on February 22, 2001.

(2) Mr. Swope's total beneficial ownership includes restricted share units and dividend equivalents thereon, receipt of which has been deferred, and shares and dividends thereon, receipt of which has been deferred. Mr. Swope also beneficially owns 5,000 options to purchase Common Shares, the acquisition of which was previously reported on Form 4.

## Edgar Filing: SWOPE JOHN F - Form 4

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