

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
2018
Open to Public Inspection

For calendar year 2018, or tax year beginning 01-01-2018, and ending 12-31-2018

| | | |
|--|---|--|
| 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>3,854,910</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) |
|---|------------------------------------|---------------------------|-------------------------|---|
| 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 | 82,797 | 83,068 | | |
| 5a Gross rents | | | | |
| b Net rental income or (loss) | | | | |
| 6a Net gain or (loss) from sale of assets not on line 10 | 256,495 | | | |
| b Gross sales price for all assets on line 6a | 1,285,263 | | | |
| 7 Capital gain net income (from Part IV, line 2) | | 256,495 | | |
| 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) | | -24,391 | | |
| 12 Total. Add lines 1 through 11 | 339,292 | 315,172 | | |
| 13 Compensation of officers, directors, trustees, etc | 30,095 | 18,057 | | 12,038 |
| 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) | 6,521 | | | 6,521 |
| 17 Interest | | | | 0 |
| 18 Taxes (attach schedule) (see instructions) | 15,865 | 2,484 | | 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) | 979 | 68 | | 918 |
| 24 Total operating and administrative expenses. Add lines 13 through 23 | 54,710 | 21,359 | 0 | 19,977 |
| 25 Contributions, gifts, grants paid | 170,000 | | | 170,000 |
| 26 Total expenses and disbursements. Add lines 24 and 25 | 224,710 | 21,359 | 0 | 189,977 |
| 27 Subtract line 26 from line 12 | | | | |
| a Excess of revenue over expenses and disbursements | 114,582 | | | |
| b Net investment income (if negative, enter -0-) | | 293,813 | | |
| 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 | 171,176 | 148,490 | 148,490 |
| | 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) | 3,569,445 | 3,713,553 | 3,706,420 |
| | 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) | 3,740,621 | 3,862,043 | 3,854,910 | |
| 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 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 | 3,740,621 | 3,862,043 | |
| | 28 Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| 29 Retained earnings, accumulated income, endowment, or other funds | | | | |
| 30 Total net assets or fund balances (see instructions) | 3,740,621 | 3,862,043 | | |
| 31 Total liabilities and net assets/fund balances (see instructions) . | 3,740,621 | 3,862,043 | | |

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 | 3,740,621 |
| 2 Enter amount from Part I, line 27a | 2 | 114,582 |
| 3 Other increases not included in line 2 (itemize) ▶ _____ | 3 | 6,840 |
| 4 Add lines 1, 2, and 3 | 4 | 3,862,043 |
| 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 | 3,862,043 |

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) | { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } | 2 | 256,495 |
| 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)) |
|--|--|--|---|
| 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 |
| 2013 | 208,382 | 4,147,468 | 0.050243 |

| | | |
|---|----------|-----------|
| 2 Total of line 1, column (d) | 2 | 0.25571 |
| 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 | 0.051142 |
| 4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5 | 4 | 4,224,800 |
| 5 Multiply line 4 by line 3 | 5 | 216,065 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 2,938 |
| 7 Add lines 5 and 6 | 7 | 219,003 |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 189,977 |

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 owed is 1,139.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Questions include 'Did the foundation attempt to influence any national, state, or local legislation?' and 'Did the foundation have at least \$5,000 in assets?'. Includes 'Yes/No' columns.

Part VII-A Statements Regarding Activities (continued)

Table with 3 columns: Question, Yes, No. Rows 11-13 regarding controlled entities, 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 | 4,143,205 |
| b | Average of monthly cash balances. | 1b | 145,932 |
| c | Fair market value of all other assets (see instructions). | 1c | 0 |
| d | Total (add lines 1a, b, and c). | 1d | 4,289,137 |
| 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 | 4,289,137 |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). | 4 | 64,337 |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 4,224,800 |
| 6 | Minimum investment return. Enter 5% of line 5. | 6 | 211,240 |

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 | 211,240 |
| 2a | Tax on investment income for 2018 from Part VI, line 5. | 2a | 5,876 |
| b | Income tax for 2018 (This does not include the tax from Part VI). | 2b | |
| c | Add lines 2a and 2b. | 2c | 5,876 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1. | 3 | 205,364 |
| 4 | Recoveries of amounts treated as qualifying distributions. | 4 | 0 |
| 5 | Add lines 3 and 4. | 5 | 205,364 |
| 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 | 205,364 |

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 | 189,977 |
| 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 | 189,977 |
| 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 | 189,977 |

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 2017 | (c) 2017 | (d) 2018 |
|--|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2018 from Part XI, line 7 | | | | 205,364 |
| 2 Undistributed income, if any, as of the end of 2018 | | | | |
| a Enter amount for 2017 only. | | | 5,646 | |
| b Total for prior years 20___, 20___, 20___ | | 0 | | |
| 3 Excess distributions carryover, if any, to 2018 | | | | |
| a From 2013. | 0 | | | |
| b From 2014. | 0 | | | |
| c From 2015. | 0 | | | |
| d From 2016. | 0 | | | |
| e From 2017. | 0 | | | |
| f Total of lines 3a through e. | 0 | | | |
| 4 Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ <u>189,977</u> | | | | |
| a Applied to 2017, but not more than line 2a | | | 5,646 | |
| 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 2018 distributable amount. | | | | 184,331 |
| e Remaining amount distributed out of corpus | 0 | | | |
| 5 Excess distributions carryover applied to 2018 (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 2017 Subtract line 4a from line 2a Taxable amount—see instructions | | | 0 | |
| f Undistributed income for 2018 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2019 | | | | 21,033 |
| 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 2013 not applied on line 5 or line 7 (see instructions). | 0 | | | |
| 9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a | 0 | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2014. | 0 | | | |
| b Excess from 2015. | 0 | | | |
| c Excess from 2016. | 0 | | | |
| d Excess from 2017. | 0 | | | |
| e Excess from 2018. | 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 2018, 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)

| | Tax year | | | | (e) Total |
|--|----------|----------|----------|----------|-----------|
| | (a) 2018 | (b) 2017 | (c) 2016 | (d) 2015 | |
| 2a 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 | | | | | |

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
 777 MAIN STREET
 HARTFORD, CT 06115
 (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
 FEBRUARY 28

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 | 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> See Additional Data Table | | | | |
| Total ▶ 3a | | | | |
| 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) |
|---|--|------------------------------------|--------------------------------|
| 1 522 851 INVESCO BALANCED-RISK ALLOCATION FUND CL R6 | | 2018-02-01 | 2018-05-18 |
| 1 242 445 AQR LONG-SHORT EQUITY FUND CL I | | 2018-05-18 | 2018-12-03 |
| 2896 795 AQR LONG-SHORT EQUITY FUND CL I | | 2017-02-02 | 2018-12-03 |
| 62 456 AQR MANAGED FUTURES STRATEGY FUND CL I | | 2016-06-30 | 2018-05-18 |
| 1016 863 BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO CL I | | 2018-02-01 | 2018-05-18 |
| 53 764 AGGREGATE BOND CTF | | 2016-06-22 | 2018-01-31 |
| 447 188 AGGREGATE BOND CTF | | 2016-06-06 | 2018-01-31 |
| 166 863 AGGREGATE BOND CTF | | 2013-02-20 | 2018-01-31 |
| 1857 532 AGGREGATE BOND CTF | | 2013-02-08 | 2018-01-31 |
| 404 725 AGGREGATE BOND CTF | | 2017-05-31 | 2018-01-31 |

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) |
|-----------------------|--|---|--|
| 5,788 | | 5,767 | 21 |
| 2,851 | | 3,271 | -420 |
| 34,066 | | 38,180 | -4,114 |
| 560 | | 650 | -90 |
| 9,986 | | 10,240 | -254 |
| 894 | | 924 | -30 |
| 7,434 | | 7,672 | -238 |
| 2,774 | | 2,828 | -54 |
| 30,880 | | 31,411 | -531 |
| 6,728 | | 6,803 | -75 |

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 | |
| | | | 21 |
| | | | -420 |
| | | | -4,114 |
| | | | -90 |
| | | | -254 |
| | | | -30 |
| | | | -238 |
| | | | -54 |
| | | | -531 |
| | | | -75 |

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) |
|---|--|------------------------------------|--------------------------------|
| 3665 895 AGGREGATE BOND CTF | | 2013-09-30 | 2018-01-31 |
| 1 653 398 AGGREGATE BOND CTF | | 2013-09-30 | 2018-05-18 |
| 248 824 SMALL CAP GROWTH LEADERS CTF | | 2013-01-18 | 2018-05-18 |
| 115 83 EMERGING MARKETS STOCK COMMON TRUST FUND | | 2013-02-08 | 2018-01-31 |
| 240 684 EMERGING MARKETS STOCK COMMON TRUST FUND | | 2016-05-31 | 2018-01-31 |
| 70 406 EMERGING MARKETS STOCK COMMON TRUST FUND | | 2014-02-28 | 2018-01-31 |
| 35 341 EMERGING MARKETS STOCK COMMON TRUST FUND | | 2014-02-28 | 2018-05-18 |
| 33 989 MID CAP VALUE CTF | | 2013-02-08 | 2018-05-18 |
| 37 782 SMALL CAP VALUE CTF | | 2017-06-16 | 2018-05-18 |
| 78 284 SMALL CAP VALUE CTF | | 2013-01-18 | 2018-05-18 |

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) |
|-----------------------|--|---|--|
| 60,943 | | 60,986 | -43 |
| 10,582 | | 10,844 | -262 |
| 8,063 | | 6,230 | 1,833 |
| 7,841 | | 5,734 | 2,107 |
| 16,293 | | 11,888 | 4,405 |
| 4,766 | | 3,470 | 1,296 |
| 2,172 | | 1,846 | 326 |
| 1,228 | | 1,191 | 37 |
| 1,320 | | 1,297 | 23 |
| 2,735 | | 2,354 | 381 |

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 | |
| | | | -43 |
| | | | -262 |
| | | | 1,833 |
| | | | 2,107 |
| | | | 4,405 |
| | | | 1,296 |
| | | | 326 |
| | | | 37 |
| | | | 23 |
| | | | 381 |

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) |
|---|--|------------------------------------|--------------------------------|
| 273 047 MID CAP GROWTH CTF | | 2013-02-08 | 2018-05-18 |
| 1 119 001 DIVIDEND INCOME COMMON TRUST FUND | | 2013-02-08 | 2018-05-18 |
| 21 ISHARES CORE TOT U S BD MKT ETF | | 2017-06-16 | 2018-01-31 |
| 11 ISHARES CORE TOT U S BD MKT ETF | | 2017-05-31 | 2018-01-31 |
| 288 ISHARES CORE TOT U S BD MKT ETF | | 2016-01-08 | 2018-01-31 |
| 15 ISHARES CORE TOT U S BD MKT ETF | | 2016-01-08 | 2018-05-18 |
| 26 ISHARES CORE S&P MID CAP ETF | | 2017-05-31 | 2018-01-31 |
| 670 ISHARES CORE S&P MID CAP ETF | | 2017-01-31 | 2018-01-31 |
| 55 ISHARES CORE S&P MID CAP ETF | | 2017-01-31 | 2018-05-18 |
| 1304 ISHARES RUSSELL 2000 ETF | | 2017-01-31 | 2018-01-31 |

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) |
|-----------------------|--|---|--|
| 10,395 | | 9,424 | 971 |
| 7,767 | | 7,609 | 158 |
| 2,270 | | 2,308 | -38 |
| 1,189 | | 1,208 | -19 |
| 31,125 | | 31,292 | -167 |
| 1,579 | | 1,630 | -51 |
| 5,071 | | 4,456 | 615 |
| 130,664 | | 112,634 | 18,030 |
| 10,704 | | 9,246 | 1,458 |
| 203,869 | | 176,273 | 27,596 |

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 | |
| | | | 971 |
| | | | 158 |
| | | | -38 |
| | | | -19 |
| | | | -167 |
| | | | -51 |
| | | | 615 |
| | | | 18,030 |
| | | | 1,458 |
| | | | 27,596 |

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) |
|---|--|------------------------------------|--------------------------------|
| 297 ISHARES RUSSELL 2000 ETF | | 2017-01-31 | 2018-03-29 |
| 1 22 ISHARES RUSSELL 2000 ETF | | 2017-01-31 | 2018-05-18 |
| 1 ISHARES RUSSELL 2000 ETF | | 2015-01-28 | 2018-05-18 |
| 57 ISHARES RUSSELL 2000 ETF | | 2014-12-31 | 2018-05-18 |
| 2434 94 THE MERGER FD | | 2016-06-30 | 2018-02-01 |
| 173 75 CATALYST/MILLBURN HEDGE STRATEGY FUND CL I | | 2018-02-01 | 2018-05-18 |
| 225 POWERSHARES DB COMMODITY INDEX TRACKING FUND UNIT BEN INT | | 2014-06-30 | 2018-05-18 |
| 143 POWERSHARES DB COMMODITY INDEX TRACKING FUND UNIT BEN INT | | 2013-04-30 | 2018-05-18 |
| 257 POWERSHARES DB COMMODITY INDEX TRACKING FUND UNIT BEN INT | | 2013-08-08 | 2018-05-18 |
| 272 POWERSHARES DB COMMODITY INDEX TRACKING FUND UNIT BEN INT | | 2013-06-25 | 2018-05-18 |

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) |
|-----------------------|--|---|--|
| 45,077 | | 40,148 | 4,929 |
| 3,561 | | 2,974 | 587 |
| 162 | | 128 | 34 |
| 9,226 | | 6,888 | 2,338 |
| 39,446 | | 37,620 | 1,826 |
| 5,423 | | 5,525 | -102 |
| 4,088 | | 6,130 | -2,042 |
| 2,598 | | 3,854 | -1,256 |
| 4,670 | | 6,692 | -2,022 |
| 4,942 | | 7,078 | -2,136 |

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 | |
| | | | 4,929 |
| | | | 587 |
| | | | 34 |
| | | | 2,338 |
| | | | 1,826 |
| | | | -102 |
| | | | -2,042 |
| | | | -1,256 |
| | | | -2,022 |
| | | | -2,136 |

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) |
|---|--|------------------------------------|--------------------------------|
| 665 POWERSHARES DB COMMODITY INDEX TRACKING FUND UNIT BEN INT | | 2018-01-31 | 2018-05-18 |
| 1 195 43 PRINCIPAL MIDCAP BLEND FUND INSTL CL | | 2017-02-02 | 2018-05-18 |
| 447 VANGUARD FTSE DEVELOPED MARKETS ETF | | 2017-05-31 | 2018-05-18 |
| 419 VANGUARD FTSE DEVELOPED MARKETS ETF | | 2017-05-31 | 2018-06-29 |
| 615 VANGUARD FTSE DEVELOPED MARKETS ETF | | 2017-03-31 | 2018-06-29 |
| 347 VANGUARD FTSE DEVELOPED MARKETS ETF | | 2017-01-31 | 2018-06-29 |
| 716 VANGUARD FTSE EMERGING MKTS ETF | | 2016-05-31 | 2018-01-31 |
| 24 VANGUARD S&P 500 ETF | | 2018-05-18 | 2018-09-28 |
| 2 VANGUARD S&P 500 ETF | | 2018-05-18 | 2018-11-30 |
| 6 79 WELLS FARGO ABSOLUTE RETURN FUND INSTL CL | | 2017-02-02 | 2018-05-18 |

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) |
|-----------------------|--|---|--|
| 12,083 | | 11,791 | 292 |
| 5,427 | | 4,544 | 883 |
| 20,204 | | 18,579 | 1,625 |
| 17,978 | | 17,415 | 563 |
| 26,388 | | 24,211 | 2,177 |
| 14,889 | | 13,142 | 1,747 |
| 35,671 | | 24,204 | 11,467 |
| 6,418 | | 5,985 | 433 |
| 505 | | 499 | 6 |
| 77 | | 72 | 5 |

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 | |
| | | | 292 |
| | | | 883 |
| | | | 1,625 |
| | | | 563 |
| | | | 2,177 |
| | | | 1,747 |
| | | | 11,467 |
| | | | 433 |
| | | | 6 |
| | | | 5 |

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) |
|---|--|------------------------------------|--------------------------------|
| 1831 043 WELLS FARGO ABSOLUTE RETURN FUND INSTL CL | | 2017-02-02 | 2018-12-03 |
| 1 1888 138 WELLS FARGO ABSOLUTE RETURN FUND INSTL CL | | 2016-01-08 | 2018-12-03 |
| 3 663 HIGH QUALITY CORE COMMON TRUST FUND | | 2017-06-16 | 2018-01-31 |
| 3933 068 HIGH QUALITY CORE COMMON TRUST FUND | | 2012-09-30 | 2018-01-31 |
| 198 206 INTERNATIONAL FOCUSED EQUITY COMMON TRUST FUND | | 2013-03-08 | 2018-01-31 |
| 1434 71 INTERNATIONAL FOCUSED EQUITY COMMON TRUST FUND | | 2013-03-08 | 2018-05-18 |
| 4707 363 STRATEGIC GROWTH COMMON TRUST FUND | | 2013-04-30 | 2018-01-31 |
| 987 825 STRATEGIC GROWTH COMMON TRUST FUND | | 2013-04-30 | 2018-05-18 |
| 973 555 LARGE CAP CORE CTF | | 2018-01-31 | 2018-05-18 |
| 753 831 MID CAP CORE CTF | | 2018-01-31 | 2018-05-18 |

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) |
|-----------------------|--|---|--|
| 20,141 | | 19,391 | 750 |
| 20,770 | | 18,523 | 2,247 |
| 66 | | 60 | 6 |
| 70,654 | | 59,026 | 11,628 |
| 3,000 | | 2,175 | 825 |
| 20,529 | | 16,781 | 3,748 |
| 83,546 | | 63,223 | 20,323 |
| 17,746 | | 15,962 | 1,784 |
| 9,329 | | 9,736 | -407 |
| 7,369 | | 7,540 | -171 |

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 | |
| | | | 750 |
| | | | 2,247 |
| | | | 6 |
| | | | 11,628 |
| | | | 825 |
| | | | 3,748 |
| | | | 20,323 |
| | | | 1,784 |
| | | | -407 |
| | | | -171 |

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) |
|---|--|--|--|
| 919 226 SMALL CAP CORE CTF | | 2018-01-31 | 2018-05-18 |
| 1 CAPITAL GAIN DIVIDENDS | P | | |

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) |
|------------------------------|---|--|---|
| 9,493 | | 9,206 | 287 |
| | | | 13,110 |

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 | |
| | | | 287 |
| | | | |

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 | 7,000 |
| BOYS & GIRLS CLUB OF SE CT PO BOX 1849 NEW LONDON, CT 063201849 | N/A | PC | UNRESTRICTED GENERAL | 5,000 |
| Total ▶ 3a | | | | 170,000 |

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> | | | | |
| CATHOLIC CHARITIES NORWICH DIOCESE331 MAIN ST NORWICH, CT 06360 | N/A | PC | EMERGENCY BASIC NEEDS | 15,000 |
| NEW LONDON CITY120 BROAD ST NEW LONDON, CT 06320 | N/A | PC | SUPPORT TEENS IN ACTION | 8,000 |
| THE COVENANT SHELTER OF NEW LONDON INC42 JAY STREET NEW LONDON, CT 06320 | N/A | PC | UNRESTRICTED GENERAL | 10,000 |
| Total | | | | 170,000 |

▶ 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> | | | | |
| EASTERN CT SYMPHONY INC 289 STATE ST NEW LONDON, CT 06320 | N/A | PC | ECSO MUSIC IN THE SCHOOLS | 2,600 |
| EXPRESSIONES CULTURAL CENTER 84 BANK ST NEW LONDON, CT 06320 | N/A | PC | ARTVENTURE PROGRAM | 3,000 |
| HIGHER EDGE INC 35 REDDEN AVE NEW LONDON, CT 06320 | N/A | PC | UNRESTRICTED GENERAL | 5,000 |
| Total | | | | 170,000 |

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 ENGLAND SCIENCE & SAILING FOUNDATION PO BOX 733 STONINGTON, CT 06378 | N/A | PC | NESS-NEW LONDON INITIATIVE | 4,000 |
| NEW LONDON AMERICA LEGION BASEBALL CLUB 138 OSWEGATCHIE RD WATERFORD, CT 06385 | N/A | PC | UNRESTRICTED GENERAL | 1,400 |
| NEW LONDON HOMELESS HOSPITALITY CENTER 730 STATE PIER RD NEW LONDON, CT 06320 | N/A | PC | RAPID REHOUSING EMPLOYMENT | 10,000 |
| Total | | | | 170,000 |

▶ **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 | 45,000 |
| 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 | 25,000 |
| Total ▶ 3a | | | | 170,000 |

| 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 COMMUNITY MEAL CTR 12 MONTAUK AVE NEW LONDON, CT 06320 | N/A | PC | UNRESTRICTED GENERAL | 10,000 |
| Total ▶ 3a | | | | 170,000 |

TY 2018 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 2018 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 |
|-------------|---------------|--------------|-----------|----------------|-------------------|--------|--------------|----------------|-------------|--------------------------|
| 225 POWERSH | 2018-05 | | 2014-06 | PURCHASER | 4,088 | 6,130 | | | -2,042 | |
| 143 POWERSH | 2018-05 | | 2013-04 | PURCHASER | 2,598 | 3,854 | | | -1,256 | |
| 257 POWERSH | 2018-05 | | 2013-08 | PURCHASER | 4,670 | 6,692 | | | -2,022 | |
| 272 POWERSH | 2018-05 | | 2013-06 | PURCHASER | 4,942 | 7,078 | | | -2,136 | |
| 665 POWERSH | 2018-05 | | 2018-01 | PURCHASER | 12,083 | 11,791 | | | 292 | |

TY 2018 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 2018 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 |
|--------------------------------|-------------------------------|--------------------------------------|
| 99Z466163 HIGH QUALITY CORE CO | | |
| 464287507 ISHARES CORE S&P MID | 115,224 | 144,306 |
| 464287655 ISHARES RUSSELL 2000 | 85,635 | 122,652 |
| 921943858 VANGUARD FTSE DEVELO | 276,430 | 277,211 |
| 922042858 VANGUARD FTSE EMERGI | 84,487 | 97,307 |
| 693390841 PIMCO HIGH YIELD FD | 41,642 | 40,369 |
| 202671913 AGGREGATE BOND CTF | 257,417 | 253,842 |
| 207543877 SMALL CAP GROWTH LEA | 55,909 | 56,180 |
| 29099J109 EMERGING MARKETS STO | 165,747 | 159,652 |
| 302993993 MID CAP VALUE CTF | 79,518 | 72,699 |
| 303995997 SMALL CAP VALUE CTF | 59,547 | 52,280 |
| 323991307 MID CAP GROWTH CTF | 80,131 | 76,816 |
| 45399C107 DIVIDEND INCOME COMM | 237,726 | 218,758 |
| 99Z466197 INTERNATIONAL FOCUSE | 258,923 | 263,673 |
| 99Z501647 STRATEGIC GROWTH COM | 166,166 | 155,955 |
| 73935S105 POWERSHARES DB COMMO | | |
| 464287226 ISHARES CORE US AGGR | 43,788 | 42,915 |
| 922908363 VANGUARD S&P 500 ETF | 299,008 | 383,323 |
| 00203H859 AQR MANAGED FUTURES | 47,498 | 39,499 |
| 09256H286 BLACKROCK STRATEGIC | | |
| 94987W737 WELLS FARGO ABSOLUTE | 36,221 | 38,510 |
| 589509108 THE MERGER FD | | |
| 00203H446 AQR LONG-SHORT EQUIT | | |
| 62827P816 CATALYST/MILLBURN HE | 107,331 | 101,764 |
| 74253Q747 PRINCIPAL MIDCAP BLE | 106,694 | 104,033 |
| 46138B103 INVESCO DB COMMODITY | 203,276 | 175,822 |
| 09257V201 BLACKSTONE ALTERNATI | 80,185 | 77,712 |
| 09260B382 BLACKROCK STRATEGIC | 232,534 | 227,301 |
| 00142R539 INVESCO BALANCED-RIS | 84,578 | 78,750 |
| 99Z639934 LARGE CAP CORE CTF | 191,553 | 175,944 |

Investments Corporation Stock Schedule

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|------------------------------|-------------------------------|--------------------------------------|
| 99Z639942 MID CAP CORE CTF | 173,369 | 149,027 |
| 99Z639959 SMALL CAP CORE CTF | 143,016 | 120,120 |

TY 2018 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 |
|----------------------|--------------------------------|-----------------------|---------------------|---------------------------------------|
| ALLOCABLE EXPENSES | 918 | 0 | | 918 |
| OTHER MISC EXPENSE | 61 | 0 | | 0 |
| PARTNERSHIP EXPENSES | | 68 | | 0 |

TY 2018 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 |
|-------------------------|--------------------------------|-----------------------|---------------------|
| FROM PARTNERSHIP/S-CORP | | -24,391 | |

TY 2018 Other Increases Schedule**Name:** SHEA MARY E EST TR UW**EIN:** 06-6029604

| Description | Amount |
|------------------------------|---------------|
| INCOME ADJUSTMENT | 3,620 |
| ADJUST CARRYING VALUE | 478 |
| PARTNERSHIP BASIS ADJUSTMENT | 2,288 |
| SALES ADJUSTMENT | 454 |

TY 2018 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 | 6,521 | | | 6,521 |

TY 2018 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 | 1,426 | 1,426 | | 0 |
| EXCISE TAX - PRIOR YEAR | 6,366 | 0 | | 0 |
| EXCISE TAX ESTIMATES | 7,015 | 0 | | 0 |
| FOREIGN TAXES ON QUALIFIED FOR | 761 | 761 | | 0 |
| FOREIGN TAXES ON NONQUALIFIED | 297 | 297 | | 0 |