

NORTHERN TRUST CORP
Form 3
June 09, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Â Parker Teresa

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

06/06/2017

3. Issuer Name **and** Ticker or Trading Symbol
NORTHERN TRUST CORP [NTRS]

4. Relationship of Reporting
Person(s) to Issuer

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

50 SOUTH LASALLE STREET

(Street)

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
Executive Vice President

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

CHICAGO,Â ILÂ 60603

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

32,053 ⁽¹⁾

D

Â

Common Stock

9,244.29

I

401(k) as of 3-31-17

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

SEC 1473 (7-02)

**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.**

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and
Expiration Date
(Month/Day/Year)

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

4. Conversion
or Exercise
Price of
Derivative

5. Ownership
Form of
Derivative
Security:

6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right-to-buy)	02/14/2012 ⁽²⁾	02/14/2021	Common Stock	11,399	\$ 52.64	D	Â
Employee Stock Option (right-to-buy)	02/11/2014 ⁽³⁾	02/11/2023	Common Stock	7,118	\$ 52.69	D	Â
Employee Stock Option (right-to-buy)	02/10/2015 ⁽⁴⁾	02/10/2024	Common Stock	6,163	\$ 60.85	D	Â
Employee Stock Option (right-to-buy)	02/17/2016 ⁽⁵⁾	02/17/2025	Common Stock	5,935	\$ 70.21	D	Â
Employee Stock Option (right-to-buy)	02/16/2017 ⁽⁶⁾	02/16/2026	Common Stock	7,665	\$ 58.25	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Parker Teresa 50 SOUTH LASALLE STREET CHICAGO, IL 60603	Â	Â	Â Executive Vice President	Â

Signatures

Bradley R. Gabriel, Attorney-in-Fact for Teresa Parker 06/09/2017

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) Includes 7,793 shares representing stock units payable automatically on a 1-for-1 basis in shares of the Corporation's common stock.
- (2) This option became exercisable in four equal annual installments beginning 2/14/2012.
- (3) This option became exercisable in four equal annual installments beginning 2/11/2014.
- (4) This option becomes exercisable in four equal annual installments beginning 2/10/2015.
- (5) This option becomes exercisable in four equal annual installments beginning 2/17/2016.
- (6) This option becomes exercisable in four equal annual installments beginning 2/16/2017.

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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