

Leech Wilson  
Form 4  
February 01, 2018

**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 \*  
Leech Wilson

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
50 SOUTH LASALLE STREET  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
01/30/2018

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
EVP/Chief Risk Officer

CHICAGO, IL 60603

(City) (State) (Zip)

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

**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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price   |
| Common Stock                    | 01/30/2018                           |  | M                              |   | 5,694   | A  | \$ 52.69  |
|                                 |                                      |  |                                |   | 39,272.63   | (1)  | D   |
| Common Stock                    | 01/30/2018                           |  | M                              |   | 1,112   | A  | \$ 60.85  |
|                                 |                                      |  |                                |   | 40,384.63   | (1)  | D   |
| Common Stock                    | 01/30/2018                           |  | S                              |   | 6,806   | D  | \$ 106.27   |
|                                 |                                      |  |                                |   | 33,578.63   | (1)  | D   |
|                                 |                                      |  |                                |   |   | (2)  |   |
| Common Stock                    | 01/31/2018                           |  | M                              |   | 668   | A  | \$ 60.85  |
|                                 |                                      |  |                                |   | 34,246.63   | (1)  | D   |
| Common Stock                    | 01/31/2018                           |  | M                              |   | 1,484   | A  | \$ 70.21  |
|                                 |                                      |  |                                |   | 35,730.63   | (1)  | D   |

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Common Stock 01/31/2018 S 2,152 D \$ 105.85 33,578.63 (1) D (3)

Common Stock 431 I UK Employee Stock Ownership Plan as of 12-31-17

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) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Employee Stock Option (right-to-buy)       | \$ 52.69   | 01/30/2018                           |  | M                              | 5,694   | <u>(4)</u> 02/11/2023                                    | Common Stock  | 5,694                      |
| Employee Stock Option (right-to-buy)       | \$ 60.85   | 01/30/2018                           |  | M                              | 1,112   | <u>(5)</u> 02/10/2024                                    | Common Stock  | 1,112                      |
| Employee Stock Option (right-to-buy)       | \$ 60.85   | 01/31/2018                           |  | M                              | 668   | <u>(5)</u> 02/10/2024                                    | Common Stock  | 668                        |
| Employee Stock Option (right-to-buy)       | \$ 70.21   | 01/31/2018                           |  | M                              | 1,484   | <u>(6)</u> 02/17/2025                                    | Common Stock  | 1,484                      |

## Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director    10% Owner    Officer    Other

Leech Wilson  
50 SOUTH LASALLE STREET  
CHICAGO, IL 60603

EVP/Chief Risk Officer

## Signatures

Bradley R. Gabriel, Attorney-in-Fact for Wilson  
Leech

02/01/2018

\_\_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) Includes 12,461 stock units payable automatically on a 1-for-1 basis in shares of the Corporation's common stock.
- (2) Price reflects the weighted average sales price from \$106.00 to \$106.56. Information regarding the number of shares sold at each separate price will be provided by the reporting person upon request.
- (3) Price reflects the weighted average sales price from \$105.43 to \$106.13. Information regarding the number of shares sold at each separate price will be provided by the reporting person upon request.
- (4) This option became exercisable in four equal annual installments beginning 2/11/2014.
- (5) This option becomes exercisable in four equal annual installments beginning 2/10/2015.
- (6) This option becomes exercisable in four equal annual installments beginning 2/17/2016.

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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