

NORTHERN TRUST CORP
Form 4
May 04, 2015

FORM 4

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

OMB APPROVAL

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

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 *
Karpinski Jane

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)
04/30/2015

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Senior VP & Controller

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	04/30/2015		M		2,368	A	\$ 63.36
Common Stock	04/30/2015		M		2,106	A	\$ 71.23
Common Stock	04/30/2015		M		2,275	A	\$ 55.39
Common Stock	04/30/2015		M		3,678	A	\$ 50.99
Common Stock	04/30/2015		M		3,562	A	\$ 52.64

Edgar Filing: NORTHERN TRUST CORP - Form 4

Common Stock	04/30/2015	M	61	A	\$ 43.65	23,917 ⁽¹⁾	D	
Common Stock	04/30/2015	M	673	A	\$ 43.65	24,590 ⁽¹⁾	D	
Common Stock	04/30/2015	S	14,723	D	\$ 73.1	9,867 ⁽¹⁾	D	
Common Stock						111	I	Employee Share Ownership Plan as of 3/31/2015

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
				Code V	(A) (D)	Date Exercisable Expiration Date	Title	
Employee Stock Option (UKU, right-to-buy)	\$ 63.36	04/30/2015		M	2,368	⁽²⁾ 02/20/2017	Common Stock	2,368
Employee Stock Option (UKU, right-to-buy)	\$ 71.23	04/30/2015		M	2,106	⁽³⁾ 02/19/2018	Common Stock	2,106
Employee Stock Option (UKU, right-to-buy)	\$ 55.39	04/30/2015		M	2,275	⁽⁴⁾ 02/16/2019	Common Stock	2,275
Employee Stock Option	\$ 50.99	04/30/2015		M	3,678	⁽⁵⁾ 02/15/2020	Common Stock	3,678

