Edgar Filing: Potter Stephen N - Form 4

| Potter Stephe Form 4 July 24, 2018 | | | | | | | | | | | | |
|--|---|------|--|---|------|---------------|---------------------------------------|------------------|---|--|---------------------------|--|
| | _ | | | | | | | | | OMB | APPROVAL | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | | N OMB Number: | 3235-0287 | | | |
| Check thi if no long | er | | ~~~ | ~ ~ ~ ~ | | | ~~ . | | | Expires: | January 31, 2005 | |
| subject to Section 16. Form 4 or | | | | ANGES IN BENEFICIAL OW SECURITIES | | | | | NERSHIP OF | Estimated burden ho | ed average hours per | |
| may cont | Form 5 obligations may continue. See Instruction 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 | | | | | | | | 0.0 | | | |
| (Print or Type F | Responses) | | | | | | | | | | | |
| Potter Stephen N S | | | 2. Issuer Name and Ticker or Trading Symbol NORTHERN TRUST CORP | | | | | ıg | 5. Relationship of Reporting Person(s) to Issuer | | | |
| | | | [NTRS] | | | | | | (Che | eck all applicab | ole) | |
| (Mo | | | (Month/D | Date of Earliest Transaction Month/Day/Year))7/23/2018 | | | | | Director X Officer (giv below) | | % Owner ther (specify | |
| Filed(Mo | | | | mendment, Date Original 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 | | | |
| CHICAGO, | IL 60603 | | | | | | | | Person | | acporting . | |
| (City) | (State) (| Zip) | Table | e I - Noi | n-De | erivative S | Securi | ities Ac | quired, Disposed | of, or Benefici | ally Owned | |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | | Date, if | Code (Instr. | 8) | | (A) of of (D 4 and (A) or |)) 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) | | |
| Common Stock | 07/23/2018 | | | G | | Amount 875 | (D) D | Price \$ 0 | 32,070 | I | By Trust | |
| Common Stock | | | | | | | | | 40,515 <u>(1)</u> | D | | |
| Common Stock | | | | | | | | | 30,000 | Ι | 2017 GRAT | |
| Common Stock | | | | | | | | | 8,316.84 | I | 401(k) as of 6-30-2018 | |

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

Edgar Filing: Potter Stephen N - Form 4

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 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) | 4. Transactic Code (Instr. 8) | 5. of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | 7. Titl Amou Under Secur (Instr. | ınt of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Owno Follo Repo Trans (Instr |
|---|---|---|--|---|---------------------|--------------------|--|--|---|---|
| | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | | |
|--|---------------|-----------|---------------|-------|--|--|--|--|
| reporting officer runner runners | Director | 10% Owner | Officer | Other | | | | |
| Potter Stephen N 50 SOUTH LASALLE STREET CHICAGO, IL 60603 | | | Vice Chairman | | | | | |
| Signatures | | | | | | | | |
| Bradley R Gabriel Attorney-in-F | Fact for St | ephen N | | | | | | |

| Potter | 07/24/2018 | | |
|---------------------------------|------------|--|--|
| **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) Represents stock units payable automatically on a 1-for-1 basis in shares of the Corporation's common stock.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.