

NORTHERN TRUST CORP
Form 4
November 20, 2002

FORM 4

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

OMB APPROVAL

 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

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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

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|---|--|---|--|--|--|
| 1. Name and Address of Reporting Person* Hastings Barry G. (Last) (First) (Middle) | | 2. Issuer Name and Ticker or Trading Symbol Northern Trust Corporation NTRS | | 6. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director — <input type="checkbox"/> 10% Owner — <input type="checkbox"/> Officer (give title below) — <input type="checkbox"/> Other (specify below) President and COO | |
| Northern Trust Corporation 50 S La Salle St | | 3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary) | 4. Statement for Month/Day/Year 11/18/02 | | 7. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person |
| (Street) Chicago, IL 60675 | | | 5. If Amendment, Date of Original (Month/Day/Year) | | |

| 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 & 5) | | | 5. Amount of Securities Beneficially Owned Following Reported Transactions(s) (Instr. 3 & 4) | | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|----------|--|--------------------------------------|---|--|------------|--------------------------------|--|---|--|----------------------|--|---|--|----------|-----------------------------------|
| | | | Code | V | Amount | (A) or (D) | Price | | | | | | | | | |
| Common | 11/18/02 | | A | | 14000 | A | | | | | 26500 | | D | | | |
| Common | | | | | | | | | | | 374587 | | I | | By Trust | |
| Common | | | | | | | | | | | 12000 ⁽¹⁾ | | I | | By Trust | |
| Common | | | | | | | | | | | 2000 ⁽²⁾ | | I | | By Trust | |
| Common | | | | | | | | | | | 1046 ⁽³⁾ | | I | | By Trust | |
| Common ⁽⁴⁾ | | | | | | | | | | | 56000 | | D | | | |
| Common | | | | | | | | | | | 56932 ⁽⁵⁾ | | I | | 401(k) | |
| Common | | | | | | | | | | | 15276 ⁽⁶⁾ | | I | | ESOP | |

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

* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

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**FORM 4 (continued) 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 (A) or Disposed of (D) (Instr. 3, 4 & 5) | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Underlying Securities (Instr. 3 & 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|--|--|--------------------------------------|--|--------------------------------|---|---|-----|--|-----------------|---|--|--|--|--|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | | | | | |
| | | | | | | | | | | | | | | |

Explanation of Responses:

- (1) These shares are held in a trust for the benefit of the reporting person's mother. The reporting person is trustee of the trust. The reporting person disclaims beneficial ownership of all shares held by this trust.
- (2) These shares are held for the benefit of the reporting person's mother-in-law. The reporting person's spouse has been trustee of the trust since November 1996. The reporting person disclaims beneficial ownership of all shares held by this trust.
- (3) These shares are held in a trust for the benefit of the reporting person's wife, sister-in-law and brother-in-law. The reporting person's spouse is trustee of the trust. The reporting person disclaims beneficial ownership of all shares held by this trust.
- (4) Represents Stock Units payable automatically in Stock on a 1-for-1 basis.
- (5) as of 9/30/02
- (6) as of 12/31/01

By: /s/ **Eileen C. Ratzka (POA)**

Barry G. Hastings

**Signature of Reporting Person

11/20/02

Date

**Intentional misstatements or omissions of facts constitute Federal Criminal Violations.
See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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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