## Edgar Filing: WADDELL FREDERICK H - Form 4

WADDELL FREDERICK H Form 4 January 27, 2010 FORM 4 Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction								OMB Number: Expires: Estimated a burden hou response	irs per	
1(b).	)									
(Print or Type R 1. Name and Ac WADDELL	er Name and HERN TR			g	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
			e of Earliest Transaction th/Day/Year)				XDirector10% Owner XOfficer (give titleOther (specify below) below) CEO and President			
CHICAGO,	endment, Date Original onth/Day/Year)				<ul> <li>6. Individual or Joint/Group Filing(Check Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting</li> </ul>					
(City)	(State) (Zi	<sup>ip)</sup> Tal	ble I - Non-D	erivative	Securi	ties Aco	Person quired, Disposed o	f. or Beneficia	llv Owned	
1.Title of Security (Instr. 3)	(Month/Day/Year)	ransaction Date 2A. Deemed nth/Day/Year) Execution Date, if any (Month/Day/Year)			ities d (A) c d of (D , 4 and (A) or	or 9)	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	01/26/2010			Amount 7 1,720	D	\$ 0	65,812 <u>(1)</u>	Ι	By Trust	
Common Stock							40,000 <u>(2)</u>	Ι	GRAT	
Common Stock $(3)$							116,774	D		
Common Stock							120	D		
Common Stock							14,475	Ι	By Spouse	

#### Edgar Filing: WADDELL FREDERICK H - Form 4

ommon	
tock	

C

S

29,694 (4) Ι 401(k)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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. Transacti Code (Instr. 8)	5. ionNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Title Amoun Under Securi (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	<sup>7</sup> (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
WADDELL FREDERICK H 50 S. LA SALLE STREET CHICAGO, IL 60603	Х		CEO and President				

# Signatures

Paul A. Bernacki Attorney-in-Fact for Frederick H. Waddell

\*\*Signature of Reporting Person **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).

In addition to the gift being hereby reported, on January 26, 2010, 40,000 previously reported common shares of NTRS stock held in the

(1) reporting person's trust were contributed to a grantor annuity trust (GRAT). The reporting person has a beneficial ownership in this GRAT.

40,000 previously reported common shares of NTRS stock held in the reporting person's trust were contributed to a grantor annuity trust (2) (GRAT). The reporting person has a beneficial ownership in this GRAT.

Date

01/27/2010

### Edgar Filing: WADDELL FREDERICK H - Form 4

- (3) Represents stock units payable automatically on a 1-for-1 basis in shares of the Corporation's common stock.
- (4) as of 12-31-09

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.