

F11000004290Florida Department of State
Division of Corporations
Electronic Filing Cover Sheet

Note: Please print this page and use it as a cover sheet. Type the fax audit number (shown below) on the top and bottom of all pages of the document.

(((H11000255888 3)))



H110002558883ABC5

Note: DO NOT hit the REFRESH/RELOAD button on your browser from this page. Doing so will generate another cover sheet.

To:

Division of Corporations
Fax Number : (850)617-6381

From:

Account Name : C T CORPORATION SYSTEM
Account Number : FCA000000023
Phone : (850)222-1092
Fax Number : (850)878-5368

****Enter the email address for this business entity to be used for future annual report mailings. Enter only one email address please.****

Email Address: _____

FOREIGN PROFIT/NONPROFIT CORPORATION

The North Trust Company

Certificate of Status	0
Certified Copy	0
Page Count	08
Estimated Charge	\$70.00

11 OCT 25 AM 10:53
RECEIVED
SECRETARY OF STATE
DIVISION OF CORPORATIONS11 OCT 25 PM 2:11
RECEIVED
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

FF 10/26

COVER LETTER

TO: New Filing Section
Division of Corporations

SUBJECT: The Northern Trust Company

Name of corporation - must include suffix

Dear Sir or Madam:

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida," "Certificate of Existence," or "Certificate of Good Standing" and check are submitted to register the above referenced foreign corporation to transact business in Florida.

Please return all correspondence concerning this matter to the following:

Elisa L. Mangual

Name of Person

The Northern Trust Company

Firm/Company

50 South LaSalle Street

Address

Chicago, Illinois 60612

City/State and Zip code

em101@ntr.com

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Elisa Mangual

at (312) 557-3267

Name of Person

Area Code & Daytime Telephone Number

STREET/COURIER ADDRESS:

New Filing Section
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, FL 32301

MAILING ADDRESS:

New Filing Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Enclosed is a check for the following amount:

☐ \$70.00 Filing Fee

☐ \$78.75 Filing Fee &
Certificate of Status

☐ \$78.75 Filing Fee &
Certified Copy

☒ \$87.50 Filing Fee,
Certificate of Status &
Certified Copy

11 OCT 25 AM 10:53

FILED
SECRETARY OF STATE
DIVISION OF CORPORATIONS



STREET ADDRESS: 161 East Osuna Street, Suite 636 • PHONE (850) 410-9206 • FAX (850) 410-9548
MAILING ADDRESS: Division of Financial Institutions, 200 East Gulin Street, Tallahassee, FL 32399-0371
Visit us on the web: www.floridaprk.com • Toll Free: (800) 848-3792

TOM GRADY
COMMISSIONER

October 18, 2011

Ms. Elisa Mangual
The Northern Trust Company
50 South LaSalle Street
Chicago, IL 60603

Re: The Northern Trust Company

Dear Ms. Mangual:

Reference is made to your recent e-mail requesting approval of the above name, which is a Illinois state chartered banking corporation located in Chicago, Illinois.

As Section 655.922, Florida Statutes, exempts a financial institution, holding company or its subsidiaries from the prohibition of using the word "bank," "banco," "banque," "banker," "banking," "trust company," "savings and loan association," "savings bank," or "credit union," or words of similar import, in any context or in any manner in its corporate name. The Office will not object to the use of the above name being registered to transact business in the state of Florida. This does not authorize the institution to engage in banking, trust or insurance business or any other licensed activity in the state of Florida. Proper regulatory approvals will be required.

Sincerely,

Linda B. Charity
Director

LBC:bk

cc: Karon Beyer, Chief, Bureau of Commercial Recordings, Division of Corporations,
Department of State

11 OCT 25 AM 10:53

RECEIVED
SECRETARY OF STATE
DIVISION OF CORPORATIONS

FINANCIAL SERVICES COMMISSION

RICK SCOTT
GOVERNOR

PAM BOND
ATTORNEY

JEFF ATWATER
CHIEF FINANCIAL

ADAM PUTNAM
COMMISSIONER OF

**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT
BUSINESS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO
REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.*

1. The Northern Trust Company
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

Northern Trust Company
(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)
2. Illinois 3. 36-1561560
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. August 7, 1889 5. perpetual
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. October 1, 2011
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)
7. 50 South LaSalle Street, Chicago, Illinois 60603
(Principal office address)

(Current mailing address)
8. Please see attached Schedule
(Purpose(s) of corporation authorized in home state or country to be carried out in state of Florida)
9. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: CT Corporation System

Office Address: 1200 South Pine Island Road

Plantation, Florida 33324
(City) (Zip code)
10. Registered agent's acceptance:
*Having been named as registered agent and to accept service of process for the above stated corporation at the place
designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I
further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties,
and I am familiar with and accept the obligations of my position as registered agent.*
CT Corporation System

By: Bernadette McNamara
(Registered agent's signature) Assistant Secretary
11. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to
the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction
under the law of which it is incorporated.

FILED
SECRETARY OF STATE
DIVISION OF CORPORATIONS
11 OCT 25 AM 10:53

12. Names and business addresses of officers and/or directors:

A. DIRECTORS

Chairman: Please see the attached Schedule

Address: _____

Vice Chairman: _____

Address: _____

Director: _____

Address: _____

Director: _____

Address: _____

B. OFFICERS

President: _____

Address: _____

Vice President: _____

Address: _____

Secretary: _____

Address: _____

Treasurer: _____

Address: _____

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

13. _____

Signature of Director or Officer

The officer or director signing this document (and who is listed in number 12 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

14. _____

Associate General Counsel - James E. Roselle

(Typed or printed name and capacity of person signing application)

11 OCT 25 AM 10:53

FILED
SECRETARY OF STATE
DIVISION OF CORPORATIONS

ATTACHMENT TO STATE OF FLORIDA
APPLICATION BY FOREIGN CORPORATION AUTHORIZATION TO TRANSACT BUSINESS

Item 8. Business Purpose: To provide banking services, including asset management, securities lending, brokerage, trust, custody, financial consulting and guardianship and estate administration services.

Item 12. Names and Business Addresses of officers and/or directors:

Please note that the address for each of the following directors and officers is:

c/o The Northern Trust Company
50 South LaSalle Street
Chicago, IL 60603

Name	Title
<i>Directors</i>	
Linda Walker Bynoe	Director
Nicholas D. Chabreja	Director
Susan Crown	Director
Dipak C. Jain	Director
Robert W. Lane	Director
Robert C. McCormack	Director
Edward J. Mooney	Director
John W. Rowe	Lead Director
Martin P. Slark	Director
David H. B. Smith	Director
Enrique J. Sosa	Director
Charles A. Tribbett, III	Director
Frederick H. Waddell	Director, Chairman of the Board
John Reginald Hartnell Bond	Advisory Director
<i>Officers</i>	
Frederick H. Waddell	Chairman, President and Chief Executive Officer
Sherry S. Barrat	Vice Chairman
Jeffrey D. Cohodes	Executive Vice President, Head of Corporate Risk Management
Steven L. Fradkin	President -- Corporate & Institutional Services
Timothy P. Moen	Executive Vice President, Head of Human Resources and Administration
William L. Morrison	Executive Vice President and Chief Financial Officer
Michael G. O'Grady	Executive Vice President

FILED
STATE
SECRETARY OF CORPORATIONS
11 OCT 25 AM 10:53

Jana R. Schreuder
Joyce M. St. Clair
Kelly R. Welsh

President – Personal Financial Services
President – Operations & Technology
Executive Vice President and General
Counsel

FILED
SECRETARY OF STATE
DIVISION OF CORPORATIONS
11 OCT 25 AM 10:53



State of Illinois
Department of Financial and Professional Regulation
Division of Banking

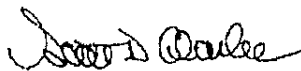
Date: August 22, 2011

Certificate

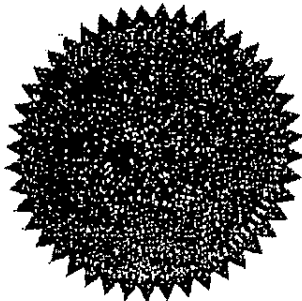
I, SCOTT CLARKE, Assistant Director, Division of Banking, do hereby certify that, according to the records maintained by the Illinois Department of Financial and Professional Regulation, Division of Banking, THE NORTHERN TRUST COMPANY, COOK COUNTY, CHICAGO, ILLINOIS, has held and continues to hold authority to do a general banking business as provided by the Illinois Banking Act and as permitted by its charter.

IN TESTIMONY WHEREOF, I hereby subscribe my name.

DEPARTMENT OF FINANCIAL AND PROFESSIONAL
REGULATION of the
State of Illinois;
BRENT E. ADAMS, SECRETARY
DIVISION OF BANKING



Scott D. Clarke
Assistant Director



FILED
SECRETARY OF STATE
DIVISION OF CORPORATIONS
11 OCT 25 AM 10:53