



Global Reporting Initiative Index 2023

Global Reporting Initiative Index 2023

This report has been prepared in accordance with the Global Reporting Initiative’s Universal and Topic standards according to Northern Trust’s material topics identified in our most recent impact materiality assessment.

GRI Standard	Disclosure	2023 Response																												
General	2-1	Organizational details 2023 Annual Report on Form 10-K, PDF pgs 6-7, 39																												
General	2-2	Entities included in the organization’s sustainability reporting 2023 Annual Report Form on 10-K, PDF pg 1																												
General	2-3	Reporting period, frequency and contact point 2023 Sustainability Report, About our Report, pg 4																												
General	2-4	Restatements of information 2023 Sustainability Report, About our Report, pg 5																												
General	2-5	External assurance We do not currently seek external assurance on our report.																												
General	2-6	Activities, value chain and other business relationships 2023 Annual Report on Form 10-K, PDF pgs 6-7; Geographic Area PDF pg 73; Financial Overview PDF pgs 44-45; Senior Notes and Long Term Debt PDF pgs 141-142; Stockholder's Equity PDF pgs 142-1438																												
General	2-7	Employees <table border="1"> <thead> <tr> <th colspan="4">Employees by employment types - by gender, as of December 31, 2023</th> </tr> <tr> <th>Number of</th> <th>Female</th> <th>Male</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>employees</td> <td>10,776</td> <td>12,851</td> <td>23,627¹</td> </tr> <tr> <td><i>permanent employees</i></td> <td>10,744</td> <td>12,823</td> <td>23,567</td> </tr> <tr> <td><i>temporary employees</i></td> <td>32</td> <td>28</td> <td>60</td> </tr> <tr> <td><i>full-time employees</i></td> <td>10,485</td> <td>12,804</td> <td>23,289</td> </tr> <tr> <td><i>part-time employees</i></td> <td>291</td> <td>47</td> <td>338</td> </tr> </tbody> </table>	Employees by employment types - by gender, as of December 31, 2023				Number of	Female	Male	Total	employees	10,776	12,851	23,627 ¹	<i>permanent employees</i>	10,744	12,823	23,567	<i>temporary employees</i>	32	28	60	<i>full-time employees</i>	10,485	12,804	23,289	<i>part-time employees</i>	291	47	338
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¹ 0.1% of Northern Trust employees chose not to disclose gender in the reporting year.

General 2-7 Employees

Employees by employment types - by region, as of December 31, 2023				
Number of	APAC	EMEA	N. America	Total
employees	9,911	4,036	9,709	23,656
<i>permanent employees</i>	9,911	3,977	9,708	23,596
<i>temporary employees</i>	0	59	1	60
<i>full-time employees</i>	9,907	3,763	9,648	23,318
<i>part-time employees</i>	4	273	61	338

- There are no significant variations in the number of employees during the year.
- These figures have been calculated by headcount.
- [See pgs 5-6 of the 2023 Sustainability Report period, scope and boundary for further details.](#)

General	2-8	Workers who are not employees	The large majority of Northern Trust workers are full-time, permanent employees in professional or administrative desk-based roles.
General	2-9	Governance structure and composition	2024 Proxy Statement, PDF pgs 10-11
General	2-10	Nomination and selection of the highest governance body	2024 Proxy Statement, PDF pg 30
General	2-11	Chair of the highest governance body	2024 Proxy Statement, PDF pgs 27-28
General	2-12	Role of the highest governance body in overseeing the management of impacts	2024 Proxy Statement, PDF pgs 31-33
General	2-13	Delegation of responsibility for managing impacts	2024 Proxy Statement, PDF pgs 31-33
General	2-14	Role of the highest governance body in sustainability reporting	2023 Sustainability Report, Our Sustainability Governance and Oversight, pg 18; 2024 Proxy Statement, PDF pg 31-33
General	2-15	Conflicts of interest	2024 Proxy Statement, PDF pgs 14, 29-30

General	2-16	Communication of critical concerns	2024 Proxy Statement, PDF pg 22
General	2-17	Collective knowledge of the highest governance body	2024 Proxy Statement, PDF pgs 31-33
General	2-18	Evaluation of the performance of the highest governance body	2024 Proxy Statement, PDF pg 27
General	2-19	Remuneration policies	2024 Proxy Statement, PDF pgs 37, 44-47
General	2-20	Process to determine remuneration	2024 Proxy Statement, PDF pgs 45-47
General	2-21	Annual total compensation ratio	2024 Proxy Statement, PDF pg 69
General	2-22	Statement on sustainable development strategy	2023 Sustainability Report, Message from Our Chairman & CEO and Our Head of Corporate Sustainability, Inclusion & Social Impact, pgs 2-3
General	2-23	Policy commitments	2023 Sustainability Report, Our policies and practices that shape our culture, conduct and continuous learning, pg 19
General	2-24	Embedding policy commitments	2023 Sustainability Report, Our policies and practices that shape our culture, conduct and continuous learning, pg 19
General	2-25	Processes to remediate negative impacts	2023 Sustainability Report, Our Sustainability Philosophy, pg 16, Our Stakeholders, pgs 12-13
General	2-26	Mechanisms for seeking advice and raising concerns	Code of Business Conduct and Ethics
General	2-27	Compliance with laws and regulations	Northern Trust's policy is to comply with all applicable laws and regulations in all countries where we operate. Northern Trust Corporation is a public company and is required to file periodic reports with the SEC, which would include information of this nature to the extent material.
General	2-28	Membership associations	2023 Sustainability Report, Our Selected Memberships, pg 50
General	2-29	Approach to stakeholder engagement	2023 Sustainability Report, Our Stakeholders, pgs 12-13; 2024 Proxy Statement, PDF pg 31

General	2-30	Collective bargaining agreements	1.5% of total employees are covered by collective bargaining agreements.
General	3-1	Process to determine material topics	2023 Sustainability Report, Our Sustainability Philosophy, our Material Topics and their links to the UNSDGs, pg 16-17
General	3-2	List of material topics	2023 Sustainability Report, Our Sustainability Philosophy, our Material Topics and their links to the UNSDGs, pg 16-17
General	3-3	Management of material topics	2023 Annual Report on Form 10-K, PDF pgs 27-28; 2023 Sustainability Report, Our Sustainability Philosophy, our Material Topics and their links to the UNSDGs, pg 17

GRI 201: Economic Performance 2016

Management	201-2	Financial implications and other risks and opportunities due to climate change	2023 Sustainability Report, Our Approach to Climate Risk, pgs 48-49; 2023 Annual Report on Form 10-K, PDF pgs 95-96
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GRI 203: Indirect Economic Impacts 2016

General	3-3	Management of material topics	2023 Sustainability Report, Our Communities, pg 33
Management	203-1	Infrastructure investments and services supported	2023 Sustainability Report, Our Communities, pg 33; 2023 Philanthropic Impact Report
Management	203-2	Significant indirect economic impacts	2023 Philanthropic Impact Report

GRI 205: Anti-corruption 2016

General	3-3	Management of material topics	2023 Sustainability Report, Our Approach to Ethics and Conduct, pg 42
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- Facilitation Payments
- Contractors and Suppliers
- Charitable Contributions
- Gifts, Hospitality and Expenses
- Agents and Other Intermediaries
- Product Risk (Mergers and Acquisition, Project Finance, Private Equity, High-Value Projects, etc.)
- Sponsorships
- Books and Records
- Political Contributions
- Business Risk (Extraterritorial activities in some geographical locations that are more prone to bribery and corruption)
- Recruitment/Internship Client Risk (Client industries, activities, and geographies of operation)
- Transaction Risk (Heightened due diligence required for certain transaction types)

Management	205-1	Operations assessed for risks related to corruption	Compliance risk assessments of all key areas across all risks are made annually to determine the correct method for surveillance and detection.
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The Global Anti-Bribery and Corruption Policy is reviewed by the Global Compliance Committee and the Compliance and Ethics Oversight Committee at least annually.

- a. All of Northern Trust's governance body members have received a copy of Northern Trust's Global Anti-Bribery and Corruption Policy or the Code of Ethics which covers the key principles of the Policy.
- b. All of Northern Trust's employees have the Global Anti-Bribery and Corruption Policy communicated to them on an annual basis.
- c. The existence of Northern Trust's Global Anti-Bribery and Corruption Policy is communicated to any clients/ business partners who request it.
- d. All of Northern Trust's governance body members received periodic training on anti-bribery and corruption.
- e. All of the Northern Trust's employees received training on anti-bribery and corruption. The 2023 Anti-Bribery and Corruption training was provided to:
 - i. 9,199 employees in APAC;
 - ii. 3,608 employees in EMEA; and
 - iii. 8,893 employees in N. America

In addition, anti-bribery and corruption training forms part of the specific mandatory contractor compliance course "Compliance Matters for Temporary Workers" which was provided to:

 - iv. 7,178 contractors globally

Management	205-2	Communication and training about anti-corruption policies and procedures	
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GRI 207: Tax 2019

Management	207-2	Tax governance, control and risk management	2023 Global Tax Strategy
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GRI 302: Energy 2016

General	3-3	Management of material topics	2023 Sustainability Report, Our Approach to Minimizing the Environmental Impact of our Operations, pg 47
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Total energy consumption: 90,097,731 kWh

1. 80,515,529 kWh is electricity, 7,686,887 kWh is from renewable energy
2. 8,269,300 kWh is gas, and 1,312,902 is diesel
3. 23,526 ton-h, only receive cooling data from 1 site (Toronto) which is renewable energy, so 0 tCO2e

Methodologies/assumptions: Consumption is based on raw data when available - 86% of square footage is based on actual raw data. When raw energy data is unavailable, the Corporation estimates energy consumption based on the Real Estate Environmental Benchmark (REEB 2020) and Energy Star benchmark.

Environmental	302-1	Energy consumption within the organization
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1. 3,897 kWh/FTE
2. FTE which totaled 23,100
3. Fuel (gas and diesel), electricity (including 10.6% renewable energy)
4. Ratio includes organization specific energy consumption

Environmental	302-3	Energy intensity
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1. Since 2019, 167,785 kWh saved through direct conservation and efficiency activities.
2. Fuel (gas & diesel), electricity (market-based)
3. The energy reductions are reported as our 2023 energy usage versus our 2019 baseline. The base year is aligned with the GHG base year as per GRI 305-4.
4. Consumption is based on raw data when available - 86% of square footage is based off of raw data. When raw energy data is unavailable, the Corporation estimates energy consumption based on the Real Estate Environmental Benchmark (REEB 2020) and Energy Star benchmark

Environmental	302-4	Reduction of energy consumption
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GRI 305: Emissions 2016

General	3-3	Management of material topics	2023 Sustainability Report, Our Approach to Minimizing the Environmental Impact of our Operations, pg 47
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Environmental	305-1	Direct (Scope 1) emissions	2023 Statement of Greenhouse Gas Emissions
Environmental	305-2	Energy indirect (Scope 2) emissions	2023 Statement of Greenhouse Gas Emissions
Environmental	305-3	Other indirect (Scope 3) emissions	2023 Statement of Greenhouse Gas Emissions
Environmental	305-4	GHG emissions intensity	2023 Statement of Greenhouse Gas Emissions
Environmental	305-5	Reduction of GHG emissions	2023 Statement of Greenhouse Gas Emissions

GRI 306: Effluents and Waste 2016

Environmental	306-1	Waste generation and significant waste-related impacts	2023 Sustainability Report, Our Approach to Minimizing the Environmental Impact of our Operations, pg 47
Environmental	306-2	Management of significant waste-related impacts	<p>a) Northern Trust is in the process of implementing an Environmental Management System (EMS) across their properties in EMEA and NAMA. Single-use plastics are being eliminated across the portfolio of offices with year on year reduction targets throughout the corporation. Shredding is being managed centrally and all is recycled. Northern Trust is increasing the reporting of waste across the corporation.</p> <p>b) Waste is managed in line with legislative obligations/requirements.</p> <p>c) Waste data is requested on a quarterly basis from facilities managers. This data is being improved upon continually.</p>
Environmental	306-3	Waste generated	<ul style="list-style-type: none"> 1,349 tons of general waste landfilled and 509 tons of recycling (encompasses paper, food waste, general mixed dry recycling) 33% of buildings provide waste data, 28% of buildings provide recycling data

GRI 403: Occupational Health and Safety 2018

General	3-3	Management of material topics	2023 Sustainability Report, Our Approach to Employee Health, Safety and Well-being, pg 29
Social	403-1	Workers representation in formal joint management - worker health and safety committees	In those locations where health and safety committees exist, there is representation from Northern Trust employees and senior management. Australia, Canada, Luxembourg, and the Philippines, which represents 8.4% of full-time employees, are currently the only locations with health and safety committees.

Staff, including employees and contractor, are required to undertake a health and safety training at the start of their employment

The induction includes:

- Emergency fire evacuation procedures
- Shelter in place procedures
- How to report accidents, near-misses and hazards
- How to request first aid assistance
- A multiple choice quiz at the end of the training confirms the staff member's understanding of the induction.

As part of the Display Screen Equipment (DSE) management program staff are required to undertake DSE set up training for both in office and home workstations, and to complete a test to confirm their competency to complete a DSE self-assessment.

Staff are also required to undertake general fire safety awareness training.

Both DSE and fire safety awareness training are managed through a third-party portal.

Nominated staff members are trained as first aiders, AED users, fire wardens and evacuation chair operators.

The training is delivered in person and by qualified trainers, with the trainees competency being monitored throughout the training session/s. The frequency of the training is governed by legislation and best practice.

Certain members of the facilities team receive Legionella and Asbestos awareness training. This training takes place both virtually and face to face and is provided by qualified trainers.

All training is provided free of charge to the members of staff and takes place during working hours.

Social

403-5

Worker training on occupational health and safety

While the employee benefit package's composition varies by country, our benefit programs are designed to be locally competitive, meet the needs of our employees and their families, and reflect the organization's cultural values. Typical benefit programs include retirement, health care, paid time off, income protection such as disability and life insurance, leaves of absence, and access to our Employee Assistance Program. Our employee well-being programs and resources focus on how to manage stress, build resiliency, and be attuned to mental health issues, accessing flexible or voluntary benefits and enhancements to various parental leave offerings.

Social

403-6

Promotion of worker health

GRI 404: Training and Education 2016

General 3-3 Management of material topics [2023 Sustainability Report, Our Talent Development Approach, pg 23](#)

			Female	Male	Manager	Non-Manager
Social	404-1	Average hours of training per year per employee	25.11	23.43	20.35	25.08

Social 404-2 Programs for upgrading employee skills and transition assistance programs [2023 Sustainability Report, Our Talent Development Approach, pg 23](#)

			Of total population:	Of those required by gender:		Of those required by employee category:	
				Female	Male	Manager	Non-Manager
Social	404-3	Percentage of employees receiving regular performance and career development reviews	95%	45%	55%	23%	73%

General 3-3 Management of material topics [2023 Sustainability Report, Our Strategic Approach, pgs 27-28](#)

			Board of Directors as of December 31, 2023	
			Female	27%
			Male	73%
			Under 30	—
			30-49	—
			50 years or older	100%
			Asian	9%
			Black	27%
			Hispanic	—%
Social	405-1	Diversity of governance bodies	White	64%

Management Group as of December 31, 2023	
Female	36%
Male	64%
Under 30	—
30-49	9%
50 years or older	91%
Black	9%
Hispanic	9%
White	82%

Total Employees as of December 31, 2023*	
Female	46%
Male	54%
Under 30	16%
30-49	49%
50 years of older	35%
Asian	14%
Black	10%
Hispanic	13%
White	60%
Other	2%

Social 405-1 Diversity of governance bodies

*U.S. only

Social 405-2 Ratio of basic salary and remuneration

[2023 UK Gender Pay Gap Statement, 2023 Ireland Gender Pay Gap Statement](#)

GRI 413: Local Communities 2016

General 3-3 Management of material topics
Operations with local community engagement, impact assessments and development programs

Social 413-1

[2023 Sustainability Report, Our Communities, pg 33-35](#)

[2023 Philanthropic Impact Report](#)

GRI 414: Supplier Social Assessment 2016

General	3-3	Management of material topics	2023 Sustainability Report, Our Approach to Respecting Human Rights and Tackling Modern Slavery, Our Suppliers, pgs 36-39
			All new and existing suppliers are expected to meet the standards and principles set out in this Supplier Code of Conduct ("Code of Conduct") to do business with Northern Trust. Suppliers who engage sub-contractors when providing goods or services to Northern Trust must make them aware of our Code of Conduct. Compliance with our Code of Conduct will be used as part of our Procurement process, supplier evaluation, selection and contract management. We require our suppliers to comply with all applicable laws and, in all cases, to meet the standards and principles set out in this Code of Conduct across all areas of their business. Compliance with such laws, standards and principles is a material consideration for us in assessing every aspect of our supplier relationships. The authority of this code is established under the Chief Procurement Officer of the Northern Trust Company and is subject to review at least annually.
Social	414-1	New suppliers that were screened using social criteria	For more information, please refer to the link provided on the Global Third Party (Supplier) Code of Conduct .

GRI 415: Public Policy 2016

General	3-3	Management of material topics	2023 Sustainability Report, Our Political Engagement and Public Policy, pg 45
Social	415-1	Political contributions	2023 Year-End Contribution Report

GRI 418: Customer Privacy 2016

General	3-3	Management of material topics	2023 Sustainability Report, Our Approach to Cybersecurity and Data Privacy, pgs 43-45
Social	418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data	Northern Trust's policy is to comply with all applicable laws and regulations in the countries where we operate. Northern Trust Corporation is a public company and is required to file periodic reports with the Securities and Exchange Commission ("SEC"), which would include information of this nature to the extent it is material.

Sustainability Accounting Standards Board Index 2023

This report has been prepared in furtherance of our ongoing commitment to transparency for our various stakeholder groups. This report has been prepared in accordance with the Sustainability Accounting Standards Board’s disclosures for Asset Management and Custody Activities. As such, the information provided in this response is primarily representative of Northern Trust’s Asset Management (NTAM) business. Additional information may exist or responses may vary, with respect to Northern Trust’s other business units.

Accounting Metric	Category	Code	2023 Response
Topic: Transparent Information & Fair Advice for Customers			
(1) Number and (2) percentage of licensed employees and identified decision-makers with a record of investment-related investigations, consumer-initiated complaints, private civil litigations, or other regulatory proceedings	Quantitative	FN-AC-270a.1	During the reporting period of 2023, no Northern Trust covered employees (0%) were the subject of new complaints or proceedings of this type.
Total amount of monetary losses as a result of legal proceedings associated with marketing and communication of financial product- related information to new and returning customers	Quantitative	FN-AC-270a.2	Please refer to Northern Trust’s periodic reports under Section 13 or Section 15(d) of the Securities Exchange Act of 1934, as amended, and other filings made with the U.S. Securities and Exchange Commission for a description of material legal proceedings, if any.

Our client-facing teams are trained to uphold and align with the standards, laws, rules and regulations surrounding client and prospect communication required of the various legal entities through which we operate. These professionals together with our investment strategists, analysts and portfolio managers are responsible for regular communication with clients and prospects.

We use a wide range of mediums to communicate product and service information with our broad client and prospect set that includes both institutional and high net worth entities. Information may be provided through strategy and fund fact sheets, websites, blogs, webinars, and conferences. For our fund ranges, audited annual reports are made available to provide transparency as to fund holdings, transactions and valuation. Clients also receive periodic statements to relay their specific performance results, portfolio characteristics and risk statistics.

To engage with prospective clients, we may leverage tailored presentation materials that include investment strategy objectives, describe the investment process and relay historical performance outcomes with risk statistics. All standard marketing materials and client-specific presentations are subject to internal policies, procedures and review by internal compliance professionals.

NTAM's approach to communication is aimed at transparency and is tailored to the client type and the jurisdictional requirements of our clients' location. Additional information about NTAM products and services can be found through <https://ntam.northerntrust.com/united-states/institutional> as well as related offering-specific websites which are customized to the location and investor type.

Description of approach to informing customers about products and services	Discussion and Analysis	FN-AC-270a.3
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Topic: Employee Diversity & Inclusion

Percentage of gender and racial/ethnic group representation for (1) executive management, (2) non-executive management, (3) professionals, and (4) all other employees	Quantitative	FN-AC-330a.1	See below chart of Northern Trust's EEO-1 report on page 18
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Topic: Incorporation of Environmental, Social, and Governance Factors in Investment Management & Advisory

We have been managing portfolios incorporating sustainability considerations for over 30 years with our first client mandates utilizing negative screening, historically referred to as Socially Responsible. NTAM”) defines Sustainable Investing as encompassing all NTAM’s investment strategies and accounts that utilize values based and norms-based screens, best-in-class and ESG integration, or thematic investing that may focus on a specific ESG issue such as climate risk. NTAM’s Sustainable Investing includes portfolios designed by NTAM and those managed to client-defined methodologies or screens. As the data, analytical models and aforementioned portfolio construction tools available in the marketplace have evolved over time, so too has NTAM. NTAM’s Sustainable Investing encompasses strategies and client assets managed in accordance with client specified responsible investing terms, as well as portfolios that leverage contemporary approaches and datasets, including ESG analytics and ESG thematic investing. Our sustainable investing assets have grown over time reaching US\$162 billion in assets under management as of 12/31/2023. We have provided a breakdown by asset class below:

Public Equity:	\$151,228,235,189
Fixed Income:	\$8,540,220,870

We have provided a breakdown by approach in the table below:

Negative Screening	98.1%	\$159,356,433,189
Engagement	33.6%	\$54,639,591,001
Best In Class	7.5%	\$12,140,858,668
Thematic	9.9%	\$16,106,227,349
Tilting	10.1%	\$16,355,942,849
Integration	5.4%	\$8,751,801,530
Climate	27.0%	\$43,950,217,785

Amount of assets under management, by asset class, that employ (1) integration of environmental, social, and governance (ESG) issues, (2) sustainability themed investing, and (3) screening

Quantitative

FN-AC-410a.1

Description of approach to incorporation of environmental, social, and governance (ESG) factors in investment and/or wealth management processes and strategies	Discussion and Analysis	FN-AC-410a.2	<p>NTAM purposefully combines robust capital markets research, expert portfolio construction and comprehensive risk management to craft efficient solutions to deliver targeted investment outcomes. Our roles and responsibilities as a fiduciary guide our principle-based culture and collaborative approach, resulting in a distinctive client experience. Our business strategy seeks to deliver investment solutions that solve the most complex needs of institutional, with a focus on solutions that provide the most value to investors. We believe that, by serving as an active owner on behalf of our clients, we can help portfolio companies produce sustainable value as long as a company's long-term financial returns are connected to their strategic ESG performance. NTAM has dedicated resources focusing on the integration of sustainable investing factors across our investment processes and has developed in-house, specialized expertise through our long-term commitment to social, environmental and financial integrity.. This team works closely with our clients and key internal stakeholders, such as our portfolio management and quantitative research teams, to develop and implement sustainable investing strategies. An example of this expertise is the ESG Vector Score™ to assess a company in the context of financially relevant ESG-related criteria that could impact company performance. By leveraging two industry-leading frameworks, the ESG Vector Score™ provides investors a more transparent methodology that can assess companies with a consistent metric for both portfolio construction and stewardship. Our approach represents a refined perspective on ESG materiality and leverages our quantitative and fundamental research expertise.</p>
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Description of proxy voting and investee engagement policies and procedures	Discussion and Analysis	FN-AC-410a.3	<p>Sustainable Investing Philosophy Global Proxy Voting Policies and Procedures Global Proxy Voting Guidelines Global Engagement Policy</p>
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Topic: Financed Emissions			
Absolute gross financed emissions, disaggregated by (1) Scope 1, (2) Scope 2 and (3) Scope 3	Quantitative	FN-AC-410b.1	2023 NTAM TCFD Report, page 44, Exhibit 20

Total amount of assets under management (AUM) included in the financed emissions disclosure	Quantitative	FN-AC-410b.2	2023 NTAM TCFD Report, page 44
Percentage of total assets under management (AUM) included in the financed emissions calculation	Quantitative	FN-AC-410b.3	2023 NTAM TCFD Report, page 44
Description of the methodology used to calculate financed emissions	Discussion and Analysis	FN-AC-410b.4	2023 NTAM TCFD Report, Appendix 4
Topic: Business Ethics			
Total amount of monetary losses as a result of legal proceedings associated with fraud, insider trading, anti-trust, anti- competitive behavior, market manipulation, malpractice, of other related financial industry laws or regulations	Quantitative	FN-AC-510a.1	Northern Trust discloses material legal proceedings on Forms 10-K and 10-Q. During 2023, Northern Trust experienced no material losses in the categories listed above.
Description of whistle blower policies and procedures	Discussion and Analysis	FN-AC-510a.2	Northern Trust's Standards of Conduct Policy requires employees to report known or suspected legal or conduct violations and provides several points of contact including Human Resources, the Chief Compliance and Ethics Officer, the Corporate Secretary, and the Equal Employment Opportunity Officer. Employees can also access a confidential hotline which is available 24 hours a day, 7 days a week. Regional hotline numbers are in the Standards of Conduct Policy as well as the corporate intranet page. Northern Trust does not tolerate any type of retaliation against employees who make a report. This includes discrimination in the terms and conditions of employment, or other adverse action of any kind solely as a result of making a report. Any employee who violates this non-retaliation policy will be subject to disciplinary action, up to and including termination. The hotline is managed by an independent third party. Northern Trust complies with applicable whistleblower regulations including the U.S. Sarbanes Oxley Act, and the U.S. Consumer Financial Protection Act. For more information, please refer to this link.

Activity Metric	Category	Code	2023 Response
(1)Total registered and (2) total unregistered assets under management(AUM)	Quantitative	FN-AC-000.A	\$1.18T Assets under Management as of December 31, 2023
Total assets under custody and supervision	Quantitative	FN-AC-000.B	\$11.9T Assets under Custody as of December 31, 2023

Global employees as of December 31, 2023

	Female	Male
Executive Management	33%	67%
Non-Executive Management	41%	59%
Professionals	54%	46%
All Other Employees	52%	48%
Total	46%	54%

Reference for FN-AC 330a.1
SECTION D – EMPLOYMENT DATA

JOB CATEGORIES	Hispanic or Latino		Non Hispanic or Latino											
			Male						Female					
	Male	Female	White	Black or African American	Asian	Native Hawaiian or Pacific Islander	American Indian or Alaska Native	Two or More Races	White	Black or African American	Asian	Native Hawaiian or Pacific Islander	American Indian or Alaska Native	Two or More Races
Exec/Sr. Officials & Mgrs.	3.8% ▼-0.2pp	2.4% ▲+0.5pp	53.3% ▼-1.3pp	2.8% ▼-0.1pp	6.8% ▼-0.7pp	0.0% 0.0pp	0.0% 0.0pp	1.0% ▼-7.0pp	23.3% ▲+0.2pp	2.4% ▲+0.7pp	4.2% ▲+0.9pp	0.0% 0.0pp	0.2% 0.0pp	0.2% 0.0pp
First/Mid Officials & Mgrs.	3.8% ▼-0.2pp	5.4% ▲+0.2pp	38.6% 0.0pp	3.0% ▼-0.2pp	10.0% ▲+1.3pp	0.1% ▲+0.1pp	0.1% 0.0pp	1.0% ▼-0.1pp	27.2% ▼-0.4pp	5.0% ▼-0.3pp	5.2% ▲+0.2pp	0.1% 0.0pp	0.0% 0.0pp	0.7% 0.0pp
Professionals	6.0% ▲+0.1pp	8.1% ▲+0.1pp	34.4% ▲+0.4pp	3.6% ▼-0.3pp	8.3% ▲+0.3pp	0.2% 0.0pp	0.1% 0.0pp	1.1% 0.0pp	24.3% ▲+0.1pp	7.0% ▼-0.2pp	6.2% ▲+0.3pp	0.1% ▲+0.1pp	0.0% ▼-0.1pp	0.9% 0.0pp
Technicians	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% -0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp
Sales Workers	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp
Administrative Support	4.7% ▼-2.2pp	18.4% ▲+0.2pp	14.5% ▲+3.6pp	3.5% ▲+0.2pp	0.8% ▲+0.4pp	0.0% ▼-0.7pp	0.0% 0.0pp	0.8% ▲+0.1pp	35.2% ▼-0.2pp	15.6% ▼-0.8pp	4.3% ▼-0.8pp	0.4% ▼-0.4pp	0.0% 0.0pp	2.3% ▲+0.1pp
Craft Workers	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp
Operatives	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp
Laborers & Helpers	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp
Service Workers	27.3% ▲+7.3pp	18.2% ▼-1.8pp	27.3% ▲+3.3pp	13.6% ▼+10.4pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% 0.0pp	13.6% ▲+5.6pp	0.0% ▼-4.0pp	0.0% 0.0pp	0.0% 0.0pp	0.0% ▼-0.1pp	0.0% 0.0pp
Total	5.4% ▼-0.1pp	7.6% 0.0pp	35.5% 0.0pp	3.8% 0.0pp	7.9% ▲+7.8pp	0.1% 0.0pp	0.1% 0.0pp	1.0% 0.0pp	25.1% 0.0pp	6.8% 0.0pp	5.6% 0.0pp	0.0% 0.0pp	0.1% 0.0pp	0.9% ▲0.0pp

This table is based on Northern Trust 2023 consolidated EEO-1 report filed with the U.S Equal Employment Opportunity Commission. For payroll period dates from December 16 through December 31, 2023. The year-over-year change in this table was calculated comparing the 2022 reporting year (January 1-December 31, 2022) and the 2023 reporting year (January 1-December 31, 2023.)