



Slavery Era Disclosure Affidavit
(San Francisco Administrative Code Chapter 12Y)

1. I, Craig R. Carberry, am the authorized representative and custodian of records of Northern Trust Investments, Inc. (Contractor). I have searched, or caused to be searched under my direction, any and all records in the Contractor's possession or control, including records of any parent or subsidiary entity or Predecessor Company, and have made a good faith effort to search any relevant records that are within the Contractor's knowledge but not within its possession or control, for evidence that the Contractor, its parent or subsidiary entity, or its Predecessor Company Participated in the Slave Trade or received Profits from the Slave Trade.

2. I have I have not located relevant records. If I have located relevant records, I am attaching to this affidavit as Exhibit A: (1) the names of each Person Subjected to Slavery, each Slaveholder, and each person or entity who Participated in the Slave Trade or derived Profits from the Slave Trade, mentioned in the records, (2) a description of the type of transactions, services, or other acts evidenced by the records; and, (3) the extent and nature of any Profits from the Slave Trade evidenced by the records. If I have not located relevant records, then I am attaching to this affidavit as Exhibit B the names of each parent or subsidiary entity or Predecessor Company whose records I searched or caused to be searched. This information is incorporated herein as if fully set forth.

3. I understand that this affidavit shall be subject to public disclosure pursuant to state, local or federal law.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct. Executed this 5th day of June, 2017, in Chicago (city), Illinois (state).


Signature

Craig R. Carberry
Print name

Assoc. Gen. Csl & Sr. Vice President
Title

Northern Trust Investments, Inc.
Company name

City contract number (if known): _____

- Type of industry: financial services
 insurance
 textiles

See reverse for definitions.

Exhibit B

Parent:

Northern Trust Investments, Inc. is a 100% wholly owned subsidiary of The Northern Trust Company (“TNTC”). TNTC was organized as an Illinois bank on August 7, 1889, twenty-four years after the end of the Slavery Era. Accordingly, no review of TNTC records was conducted because it did not Participate in the Slave Trade or directly profit from the slave trade.

Predecessor Companies of Contractor:

ANB Investment Management and Trust Company
Northern Trust Quantitative Advisors, Inc.
Carl Domino Associates, L.P.
The Northern Trust Company of Connecticut
Northern Trust Global Advisors, Inc.

There are no subsidiary entities of Northern Trust Investments, Inc.