



ADVERTISING REGULATION DEPARTMENT REVIEW LETTER

March 13, 2024

Mr. Tom Docherty
Northern Trust Securities, Inc.
50 S LaSalle St, B-12
Chicago IL 60603

Reference: **FX2024-0308-0169/E**

Org Id: 7927

1. BD FY23-24 First Steps Fact Sheet FY23-24 - Direct
Rule: MSRB
2 Pages

Total Fee: \$600

Dear Mr. Docherty,

The communication submitted appears consistent with applicable standards.

Reviewed by,

Susan M. Kole
Principal Analyst

smk

This year's Advertising Regulation Conference will be held on September 26-27 in Washington, D.C. For more information and to register, please view our site at: <https://www.finra.org/events-training/conferences-events/2024-advertising-regulation-conference>

Please send any communications related to filing reviews to this Department through the Advertising Regulation Electronic Filing (AREF) system or by facsimile or hard copy mail service. We request that you do not send documents or other communications via email.



***NOTE:** We assume that your filed communication doesn't omit or misstate any fact, nor does it offer an opinion without reasonable basis. While you may say that the communication was "reviewed by FINRA" or "FINRA reviewed," you may not say that we approved it.*