

Edgar Filing: Bank of New York Mellon Corp - Form 8-K

Bank of New York Mellon Corp
Form 8-K
January 18, 2018
UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

FORM 8-K

CURRENT REPORT

Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934

Date of Report (Date of earliest event reported) – January 18, 2018

THE BANK OF NEW YORK MELLON CORPORATION

(Exact name of registrant as specified in its charter)

Delaware 001-35651 13-2614959

(I.R.S.

(State or other jurisdiction (Commission Employer

of incorporation) File Number) Identification

No.)

225 Liberty Street 10286

New York, New York (Zip

(Address of principal executive code)

offices)

Registrant's telephone number, including area code – (212) 495-1784

Not Applicable

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 under the Securities Act (17 CFR 230.405) or Rule 12b-2 under the Exchange Act (17 CFR 240.12b-2).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

ITEM 2.02. RESULTS OF OPERATIONS AND FINANCIAL CONDITION.

On January 18, 2018, The Bank of New York Mellon Corporation (“BNY Mellon”) issued an Earnings Release announcing its financial results for the fourth quarter of 2017. A copy of the Earnings Release is attached hereto as Exhibit 99.1 and incorporated herein by reference. The quotation included in Exhibit 99.1 (the “Excluded Section”) is “furnished” by this Current Report on Form 8-K pursuant to General Instruction B.2 of Form 8-K and is not “filed” for purposes of Section 18 of the Securities Exchange Act of 1934 (the “Exchange Act”) or otherwise subject to the liabilities under that Section and shall not be deemed to be incorporated by reference into any BNY Mellon filing under the Securities Act of 1933 (the “Securities Act”) or the Exchange Act. The information included in Exhibit 99.1, other than in the Excluded Section, is to be considered “filed” under the Exchange Act and is incorporated by reference into all filings made by BNY Mellon under the Securities Act and the Exchange Act that state that this Current Report on Form 8-K is incorporated therein by reference.

ITEM 7.01. REGULATION FD DISCLOSURE.

On January 18, 2018, in conjunction with a conference call and webcast regarding BNY Mellon’s financial results, Quarterly Financial Trends and a Fourth Quarter 2017 Financial Highlights presentation are available on BNY Mellon’s website, www.bnymellon.com. A copy of each of the Quarterly Financial Trends and the Fourth Quarter 2017 Financial Highlights presentation is “furnished” as Exhibits 99.2 and 99.3, respectively, to this Current Report on Form 8-K pursuant to General Instruction B.2 of Form 8-K and is not “filed” for purposes of Section 18 of the Exchange Act, or otherwise subject to the liabilities under that Section. These exhibits shall not be incorporated by reference into any filings BNY Mellon has made or may make under the Securities Act or Exchange Act, except as otherwise expressly stated in such filing. The contents of BNY Mellon’s website referenced herein and in the exhibits are not incorporated into this Current Report on Form 8-K.

ITEM 9.01. FINANCIAL STATEMENTS AND EXHIBITS.

Exhibit 99.1 (other than the Excluded Section) shall be deemed filed herewith. The Excluded Section and Exhibits 99.2 and 99.3 shall be deemed furnished herewith.

(d) EXHIBITS.

Exhibit
Number Description

- 99.1 The Bank of New York Mellon Corporation Earnings Release dated January 18, 2018, announcing financial results for the fourth quarter of 2017.
- 99.2 The Bank of New York Mellon Corporation Quarterly Financial Trends dated January 18, 2018, for the fourth quarter of 2017.
- 99.3 Fourth Quarter 2017 Financial Highlights Presentation dated January 18, 2018.

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

The Bank of New York Mellon Corporation
(Registrant)

Date: January 18, 2018 By: /s/ Craig T. Beazer
Name: Craig T. Beazer
Title: Secretary