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Bank of New York Mellon Corp
Form 8-K
October 19, 2017
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) – October 19, 2017

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 October 19, 2017, The Bank of New York Mellon Corporation (“BNY Mellon”) issued an Earnings Release announcing its financial results for the third quarter of 2017. A copy of the Earnings Release is “furnished” as Exhibit 99.1 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 Securities Exchange Act of 1934 (the “Exchange Act”), or otherwise subject to the liabilities under that Section. This exhibit shall not be incorporated by reference into any filings BNY Mellon has made or may make under the Securities Act of 1933 (the “Securities Act”) or Exchange Act, except as otherwise expressly stated in such filing.

ITEM 7.01. REGULATION FD DISCLOSURE.

On October 19, 2017, in conjunction with a conference call and webcast regarding BNY Mellon’s financial results, Quarterly Financial Trends and a Third 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 Third 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.

Exhibits 99.1, 99.2 and 99.3 shall be deemed furnished herewith.

(d) EXHIBITS.

Exhibit

Number Description

- | | |
|------|---|
| 99.1 | <u>The Bank of New York Mellon Corporation Earnings Release dated October 19, 2017, announcing financial results for the third quarter of 2017.</u> |
| 99.2 | <u>The Bank of New York Mellon Corporation Quarterly Financial Trends dated October 19, 2017, for the third quarter of 2017.</u> |
| 99.3 | <u>Third Quarter 2017 Financial Highlights Presentation dated October 19, 2017.</u> |

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: October 19, 2017 By: /s/ Craig T. Beazer
Name: Craig T. Beazer
Title: Secretary