

Bank of New York Mellon Corp
Form 8-K
January 16, 2019

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 16, 2019

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.)

240 Greenwich Street
New York, New York 10286

(Address of principal executive offices) (Zip code)

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 16, 2019, The Bank of New York Mellon Corporation (“BNY Mellon”) issued an Earnings Release announcing its financial results for the fourth quarter of 2018. A copy of each of the Earnings Release and a Financial Supplement is attached hereto as Exhibit 99.1 and Exhibit 99.2, respectively, and is incorporated herein by reference. Each of Exhibit 99.1 and Exhibit 99.2 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 filings BNY Mellon has made or may make under the Securities Act of 1933 (the “Securities Act”) or the Exchange Act, except as otherwise expressly stated in such filing.

ITEM 7.01. REGULATION FD DISCLOSURE.

On January 16, 2019, in conjunction with a conference call and webcast regarding BNY Mellon’s financial results, the Earnings Release, the Financial Supplement and a Fourth Quarter 2018 Financial Highlights presentation are available on BNY Mellon’s website, www.bnymellon.com. A copy of the Fourth Quarter 2018 Financial Highlights presentation is “furnished” as Exhibit 99.3 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. This exhibit 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.

Each of Exhibit 99.1, Exhibit 99.2 and Exhibit 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 16, 2019, announcing financial results for the fourth quarter of 2018.

99.2 The Bank of New York Mellon Corporation Financial Supplement dated January 16, 2019, for the fourth quarter of 2018.

99.3 Fourth Quarter 2018 Financial Highlights Presentation dated January 16, 2019.

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 16, 2019 By: /s/ Kathleen B. McCabe
Name: Kathleen B. McCabe
Title: Assistant Secretary