

STATE STREET CORP
Form 8-K
September 01, 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): August 28, 2017

State Street Corporation
(Exact name of registrant as specified in its charter)

Massachusetts	001-07511	04-2456637
(State of Incorporation)	(Commission File Number)	(IRS Employer Identification Number)

One Lincoln Street
Boston, Massachusetts 02111
(Address of principal executive office) (Zip Code)
Registrant's telephone number, including area code: (617) 786-3000

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 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

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 5.02. Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.

On August 28, 2017, Sean P. Newth, State Street Corporation's Senior Vice President, Chief Accounting Officer and Controller, informed the company that he will resign and accept a position at a longstanding client of the firm. Mr. Newth will transition his responsibilities over the course of the next two months and through the filing of State Street's next quarterly report on Form 10-Q, which is intended to be filed on or before November 9, 2017.

Elizabeth Schaefer (age 42) will assume the responsibilities as State Street's Chief Accounting Officer on an interim basis, beginning September 1, 2017. Ms. Schaefer continues to serve as Senior Vice President and Deputy Controller, a role which she began in July 2016. She joined State Street in December 2014 as Senior Vice President and Director of SEC Reporting, Accounting Policy & Regulatory Compliance, after several years at American Express Company, a global services company whose principal products and services are charge and credit card products and travel-related services. At American Express, she served in various roles including, from August 2012 to December 2014, in senior roles within the Controllershship organization. She is a certified public accountant.

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.

STATE STREET CORPORATION

By: /s/ DAVID C. PHELAN

Name: David C. Phelan

Title: Executive Vice President, General Counsel and Assistant Secretary

Date: September 1, 2017