Edgar Filing: Bank of New York Mellon Corp - Form 4

Bank of New York Mellon Corp Form 4 February 21, 2017

Common

Stock

02/16/2017

February 2	1, 2017												
Check t if no lo subject Section Form 4 Form 5 obligati may co	 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b). STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, 6ection 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 								OMB API OMB Number: Expires: Estimated av burden hours response	3235-0287 January 31, 2005 verage			
(Print or Type	e Responses)												
Harris Mitchell E. S										. Relationship of Reporting Person(s) to ssuer (Check all applicable)			
(Mon 225 LIBERTY STREET (Street) 4. If A				3. Date of Earliest Transaction (Month/Day/Year) 02/16/2017						Director 10% Owner X Officer (give title Other (specify below) below) Sr. Executive Vice President			
				iled(Month/Day/Year) Aj						. Individual or Joint/Group Filing(Check Applicable Line) X_ Form filed by One Reporting Person Form filed by More than One Reporting erson			
(City)	(State)	(Zip)	Tal	ble I - No	on-I	Derivative S	ecur	ities A		rson ed, Disposed of,	or Beneficially	Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deeme Execution I any (Month/Day	d Date, if	3.	4 etion (3)		Acq (D)	uired	-	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Common Stock	02/16/2017			А	3	32,021 <u>(1)</u>		А	\$0	198,477.687	7 D		

20,481.4503

(2)

А

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Α

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

\$0 218,959.138

D

Edgar Filing: Bank of New York Mellon Corp - Form 4

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Date	Unde Secur	unt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
Harris Mitchell E. 225 LIBERTY STREET NEW YORK, NY 10286			Sr. Executive Vice President					
Signatures								
/s/Craig T. Beazer, Attorney-in-Fact		02/21/2017	,					

<u>**</u>Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Award of Restricted Stock Units as a portion of the Reporting Person's annual incentive. Units vest in annual increments of one-third
 (1) beginning on the first anniversary of the award. All or a portion of the units may be forfeited prior to vesting based on ongoing risk-based adjustment provisions. Vested units will be settled in Common Stock.

Represents portion of Performance Shares Units granted in February 2014 (including units from reinvested dividend equivalents) for(2) which performance goals for 2016 have been achieved, as certified on February 16, 2017. Each unit represents the right to one share of the issuer's common stock. The Performance Share Unit Award vested on February 19, 2017.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.