

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

Bank of New York Mellon Corp  
Form 4  
November 14, 2016

**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,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Peetz Karen B

(Last) (First) (Middle)

THE BANK OF NEW YORK  
MELLON CORPORATION, 225  
LIBERTY STREET

(Street)

NEW YORK, NY 10286

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol  
Bank of New York Mellon Corp  
[BK]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/10/2016

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
President

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_X\_\_ Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting  
Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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	11/10/2016		M	32,580	A \$ 22.03	189,591.0401	D
Common Stock	11/10/2016		S	32,580 (1)	D \$ 46.1806 (1)	157,011.0401	D
Common Stock	11/10/2016		M	52,102	A \$ 40.4	209,113.0401	D
Common Stock	11/10/2016		S	52,102	D \$ 46.1377	157,011.0401	D

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					(2)			
Common Stock	11/10/2016	M	24,198	A	\$ 42.83	181,209.0401	D	
Common Stock	11/10/2016	S	24,198	D	\$ (3) 46.3063	157,011.0401	D	
Common Stock	11/10/2016	M	8,964	A	\$ 44.59	165,975.0401	D	
Common Stock	11/10/2016	S	8,964	D	\$ (4) 46.1073	157,011.0401	D	
Common Stock	11/10/2016	M	109,412	A	\$ 42.31	266,423.0401	D	
Common Stock	11/10/2016	S	109,412	D	\$ 45.974 (5)	157,011.0401	D	
Common Stock	11/10/2016	M	17,609	A	\$ 34.63	174,620.0401	D	
Common Stock	11/10/2016	S	17,609	D	\$ (6) 46.2733	157,011.0401	D	

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

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(9-02)

**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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number of Shares
02/23/2012 Stock Options	\$ 22.03	11/10/2016		M		32,580		02/23/2013 <sup>(7)</sup>	02/22/2022	Common Stock	3
03/13/2007 Stock Options	\$ 40.4	11/10/2016		M		52,102		03/13/2008 <sup>(7)</sup>	03/13/2017	Common Stock	5

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04/02/2007									
Stock	\$ 42.83	11/10/2016	M	24,198	04/02/2008 <sup>(7)</sup>	04/02/2017	Common	2	
Options							Stock		
07/23/2007									
Stock	\$ 44.59	11/10/2016	M	8,964	07/23/2008 <sup>(7)</sup>	07/23/2017	Common	8	
Options							Stock		
03/10/2008									
Stock	\$ 42.31	11/10/2016	M	109,412	03/10/2009 <sup>(7)</sup>	03/10/2018	Common	10	
Options							Stock		
07/21/2008									
Stock	\$ 34.63	11/10/2016	M	17,609	07/21/2009 <sup>(7)</sup>	07/21/2018	Common	1	
Options							Stock		

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Peetz Karen B THE BANK OF NEW YORK MELLON CORPORATION 225 LIBERTY STREET NEW YORK, NY 10286			President	

## Signatures

/s/ Craig T. Beazer,  
Attorney-in-Fact

11/14/2016

\_\_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).
  - (1) Represents the weighted average price of shares sold with actual prices ranging from \$45.875 to \$46.525. Upon request by the SEC staff, the issuer, or any security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price within this range.
  - (2) Represents the weighted average price of shares sold with actual prices ranging from \$45.765 to \$46.485. Upon request by the SEC staff, the issuer, or any security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price within this range.
  - (3) Represents the weighted average price of shares sold with actual prices ranging from \$46.1401 to \$46.485. Upon request by the SEC staff, the issuer, or any security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price within this range.
  - (4) Represents the weighted average price of shares sold with actual prices ranging from \$45.79 to \$46.44. Upon request by the SEC staff, the issuer, or any security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price within this range.
  - (5) Represents the weighted average price of shares sold with actual prices ranging from \$45.705 to \$46.485. Upon request by the SEC staff, the issuer, or any security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price within this range.
  - (6) Represents the weighted average price of shares sold with actual prices ranging from \$46.145 to \$46.495. Upon request by the SEC staff, the issuer, or any security holder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price within this range.

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each separate price within this range.

- (7) Grant of Stock Options under the BNY Mellon Long-Term Incentive Plan. Grant became exercisable in annual increments beginning on the date indicated.
- (8) Not Applicable.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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