

Clerk of the House of Representatives
Legislative Resource Center
135 Cannon Building
Washington, DC 20515
<http://lobbyingdisclosure.house.gov>

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510
<http://www.senate.gov/lobby>

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

| | | | |
|---|--|--|---|
| 1. Registrant Name <input checked="" type="checkbox"/> Organization/Lobbying Firm <input type="checkbox"/> Self Employed Individual Mellon Financial Services Corporation #1 | | | |
| 2. Address Address1 One BNY Mellon Center Address2 Suite 1840 City Pittsburgh State PA Zip Code 15258 Country USA | | | |
| 3. Principal place of business (if different than line 2) City _____ State _____ Zip Code _____ Country _____ | | | |
| 4a. Contact Name Mr. David Vandivier | | b. Telephone Number 2026247921 | c. E-mail david.vandivier@bnymellon.com |
| | | | 5. Senate ID# 24863-12 |
| 7. Client Name <input checked="" type="checkbox"/> Self <input type="checkbox"/> Check if client is a state or local government or instrumentality Mellon Financial Services Corporation #1 | | | 6. House ID# 310480000 |

TYPE OF REPORT

8. Year 2021 Q1 (1/1 - 3/31) ☐ Q2 (4/1 - 6/30) ☐ Q3 (7/1 - 9/30) ☐ Q4 (10/1 - 12/31) ☒

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ Termination Date _____ 11. No Lobbying Issue Activity ☐

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

| | |
|---|--|
| 12. Lobbying INCOME relating to lobbying activities for this reporting period was: Less than \$5,000 <input type="checkbox"/> \$5,000 or more <input type="checkbox"/> \$ _____ Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income for the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client). | 13. Organizations EXPENSE relating to lobbying activities for this reporting period were: Less than \$5,000 <input type="checkbox"/> \$5,000 or more <input checked="" type="checkbox"/> \$ <u>80,000.00</u> 14. REPORTING Check box to indicate expense accounting method. See instructions for description of options. <input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definitions only <input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code |
|---|--|

Signature Digitally Signed By: David Vandivier

Date _____

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code BAN

16. Specific lobbying issues

Legislation and regulation affecting custody banking, including implementation of S.2155, the "Economic Growth, Regulatory Relief, and Consumer Protection Act."

Implementation of S.3548, the CARES Act.

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|-------------|-----------|--------|---|--------------------------|
| Christopher | Lucas | | | <input type="checkbox"/> |
| David | Vandivier | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Information Update Page - Complete ONLY where registration information has changed.

20. Client new address

Address

CityStateZip CodeCountry

21. Client new principal place of business (if different than line 20)

CityStateZip CodeCountry

22. New General description of client’s business or activities

LOBBYIST UPDATE

23. Name of each previously reported individual who is no longer expected to act as a lobbyist for the client

First NameLast NameSuffix

First NameLast NameSuffix

ISSUE UPDATE

24. General lobbying issue that no longer pertains

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Internet Address:

| Name | Address | | | | Principal Place of Business (city and state or country) |
|------|----------------|----------------|-----|---------|--|
| | Street Address | | | | |
| | City | State/Province | Zip | Country | |

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

FOREIGN ENTITIES

27. Add the following foreign entities:

| Name | Address | | | Principal place of business (city and state or country) | Amount of contribution for lobbying activities | Ownership percentage in client |
|------|----------------|----------------|---------|--|--|--------------------------------------|
| | Street Address | | | | | |
| | City | State/Province | Country | | | |

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization

CONVICTIONS DISCLOSURE

29. Have any of the lobbyists listed on this report been convicted in a Federal or State Court of an offense involving bribery, extortion, embezzlement, an illegal kickback, tax evasion, fraud, a conflict of interest, making a false statement, perjury, or money laundering?

☒ No ☐ Yes

| Lobbyist Name | Description of Offense(s) |
|---------------|---------------------------|
|---------------|---------------------------|