

UMB FINANCIAL CORP
Form 4
May 03, 2017

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
KEMPER J MARINER

2. Issuer Name and Ticker or Trading Symbol
UMB FINANCIAL CORP [UMBF]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
1010 GRAND BLVD.

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
05/02/2017

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman and CEO

KANSAS CITY, MO 64106

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

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

(City) (State) (Zip)

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 Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock	05/02/2017		M		13,807 A \$ 39.97	210,680.4489	D
Common Stock	05/02/2017		M		10,500 A \$ 41.37	196,873.4489	D
Common Stock	05/02/2017		S		200 D \$ 73.51	210,480.4489	D
Common Stock	05/02/2017		S		100 D \$ 73.3925	210,380.4489	D
Common Stock	05/02/2017		S		100 D \$ 73.325	210,280.4489	D

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Common Stock	05/02/2017	S	100	D	\$ 73.26	210,180.4489	D
Common Stock	05/02/2017	S	100	D	\$ 73.35	210,080.4489	D
Common Stock	05/02/2017	S	100	D	\$ 73.36	209,980.4489	D
Common Stock	05/02/2017	S	100	D	\$ 73.18	209,880.4489	D
Common Stock	05/02/2017	S	100	D	\$ 72.895	209,780.4489	D
Common Stock	05/02/2017	S	100	D	\$ 72.89	209,680.4489	D
Common Stock	05/02/2017	S	100	D	\$ 72.92	209,580.4489	D
Common Stock	05/02/2017	S	100	D	\$ 72.83	209,480.4489	D
Common Stock	05/02/2017	S	100	D	\$ 73.16	209,380.4489	D
Common Stock	05/02/2017	S	200	D	\$ 73.17	209,180.4489	D
Common Stock	05/02/2017	S	66	D	\$ 73.23	209,114.4489	D
Common Stock	05/02/2017	S	100	D	\$ 73.21	209,014.4489	D
Common Stock	05/02/2017	S	200	D	\$ 73	208,814.4489	D
Common Stock	05/02/2017	S	100	D	\$ 72.79	208,714.4489	D
Common Stock	05/02/2017	S	100	D	\$ 72.91	208,614.4489	D
Common Stock	05/02/2017	S	300	D	\$ 72.87	208,314.4489	D
Common Stock	05/02/2017	S	100	D	\$ 73.04	208,214.4489	D

Common Stock						1,000	I	By Daughter - Custodial Brokerage Account
Common Stock						1,902.068	I	By Esop
Common						1,000	I	By Son -

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Stock				Custodial Brokerage Account
Common Stock	60,800	I		By Trust - TUW RC Kemper For John Mariner
Common Stock	290,397	I		Held by Kemper Realty
Common Stock	395,989	I		Held by Pioneer Service Corporation
Common Stock	2,161,386	I		By Trust - RC Kemper Irrevocable Trust

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

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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 Securities (Instr. 3 and 4)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 39.97	05/02/2017		M	13,807	01/01/2015 ⁽¹⁾	01/01/2022	Common Stock	13,807
Stock Option (Right to Buy)	\$ 41.37	05/02/2017		M	10,500	01/01/2012 ⁽²⁾	01/01/2019	Common Stock	10,500

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
KEMPER J MARINER 1010 GRAND BLVD. KANSAS CITY, MO 64106	X			Chairman and CEO

Signatures

/s/ John C. Pauls, Attorney-in-fact for Mr. Kemper	05/03/2017
**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) Options will vest 50% on 1/1/2015, 75% on 1/1/2016 and 100% on 1/1/2017.
- (2) Options will vest 50% on 1/1/2012, 75% on 1/1/2013, and 100% on 1/1/2014

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.