

UMB FINANCIAL CORP
Form 4
February 06, 2017

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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)
10/19/2016

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 Ownership (Instr. 4)			
			Code	V	Amount	(A) or (D)	Price			
Common Stock	10/19/2016		G ⁽¹⁾	V	1,000	D	\$ 0	167,583.8455	D	
Common Stock	10/19/2016		G	V	1,000	A	\$ 0	1,000	I	By Son - Custodial Brokerage Account
Common Stock	10/19/2016		G ⁽²⁾	V	1,000	D	\$ 0	166,583.8455	D	
Common Stock	10/19/2016		G	V	1,000	A	\$ 0	1,000	I	By Daughter - Custodial Brokerage

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							Account	
Common Stock	02/02/2017		A	19,933	A	\$ 0 187,841.5432	D	
Common Stock						1,902.068 ⁽³⁾	I	By Esop
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.

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.

SEC 1474
(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 Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 75.25	02/02/2017		A	27,964	02/02/2019 ⁽⁴⁾	02/02/2027	Common Stock	27,964

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

02/06/2017

__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) This transaction involved a gift of securities by the reporting person to a custodial brokerage account in the name of his son, who shares the reporting person's household. The reporting person disclaims ownership of the shares held by his son in this account, and this report should not be deemed an admission that the reporting person is the beneficial owner of his son's shares for purposes of Section 16 or for any other purpose.
 - (2) This transaction involved a gift of securities by the reporting person to a custodial brokerage account in the name of his daughter, who shares the reporting person's household. The reporting person disclaims ownership of the shares held by his daughter in this account, and this report should not be deemed an admission that the reporting person is the beneficial owner of his daughter's shares for purposes of Section 16 or for any other purpose.
 - (3) Reflects ESOP allocations and dispositions that have occurred since the date of the reporting person's last ownership report
 - (4) Options will vest 50% on 2/2/2019, 75% on 2/2/2020, and 100% on 2/2/2021.

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.