

Abraham Dana H  
Form 4  
September 13, 2018

# 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 \*  
Abraham Dana H

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)

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

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

1010 GRAND BLVD.

09/12/2018

Executive Vice President

(Street)

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

KANSAS CITY, MO 64106

(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                    | 09/12/2018                           |  | M                              |   | 2,751   | A  | \$ 57.4                           |
|                                 |                                      |  |                                |   | 13,796.2179   | D  |                                   |
| Common Stock                    | 09/12/2018                           |  | M                              |   | 2,097   | A  | \$ 51.42                          |
|                                 |                                      |  |                                |   | 15,893.2179   | D  |                                   |
| Common Stock                    | 09/12/2018                           |  | M                              |   | 2,029   | A  | \$ 47.68                          |
|                                 |                                      |  |                                |   | 17,922.2179   | D  |                                   |
| Common Stock                    | 09/12/2018                           |  | S                              |   | 200   | D  | \$ 73.89                          |
|                                 |                                      |  |                                |   | 17,722.2179   | D  |                                   |
| Common Stock                    | 09/12/2018                           |  | S                              |   | 200   | D  | \$ 73.915                         |
|                                 |                                      |  |                                |   | 17,522.2179   | D  |                                   |

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|              |            |   |     |   |           |             |   |
|--------------|------------|---|-----|---|-----------|-------------|---|
| Common Stock | 09/12/2018 | S | 197 | D | \$ 73.96  | 17,325.2179 | D |
| Common Stock | 09/12/2018 | S | 3   | D | \$ 73.97  | 17,322.2179 | D |
| Common Stock | 09/12/2018 | S | 200 | D | \$ 73.98  | 17,122.2179 | D |
| Common Stock | 09/12/2018 | S | 200 | D | \$ 73.995 | 16,922.2179 | D |
| Common Stock | 09/12/2018 | S | 300 | D | \$ 74     | 16,622.2179 | D |
| Common Stock | 09/12/2018 | S | 331 | D | \$ 74.01  | 16,291.2179 | D |
| Common Stock | 09/12/2018 | S | 100 | D | \$ 74.025 | 16,191.2179 | D |
| Common Stock | 09/12/2018 | S | 238 | D | \$ 74.03  | 15,953.2179 | D |
| Common Stock | 09/12/2018 | S | 100 | D | \$ 74.035 | 15,853.2179 | D |
| Common Stock | 09/12/2018 | S | 700 | D | \$ 74.04  | 15,153.2179 | D |
| Common Stock | 09/12/2018 | S | 100 | D | \$ 74.045 | 15,053.2179 | D |
| Common Stock | 09/12/2018 | S | 100 | D | \$ 74.05  | 14,953.2179 | D |
| Common Stock | 09/12/2018 | S | 150 | D | \$ 74.06  | 14,803.2179 | D |
| Common Stock | 09/12/2018 | S | 300 | D | \$ 74.07  | 14,503.2179 | D |
| Common Stock | 09/12/2018 | S | 200 | D | \$ 74.08  | 14,303.2179 | D |
| Common Stock | 09/12/2018 | S | 150 | D | \$ 74.09  | 14,153.2179 | D |
| Common Stock | 09/12/2018 | S | 708 | D | \$ 74.1   | 13,445.2179 | D |
| Common Stock | 09/12/2018 | S | 200 | D | \$ 74.11  | 13,245.2179 | D |
| Common Stock | 09/12/2018 | S | 300 | D | \$ 74.12  | 12,945.2179 | D |
| Common Stock | 09/12/2018 | S | 484 | D | \$ 74.13  | 12,461.2179 | D |
|              | 09/12/2018 | S | 111 | D | \$ 74.14  | 12,350.2179 | D |

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|              |            |  |   |     |   |          |             |   |         |
|--------------|------------|--|---|-----|---|----------|-------------|---|---------|
| Common Stock |            |  |   |     |   |          |             |   |         |
| Common Stock | 09/12/2018 |  | S | 305 | D | \$ 74.15 | 12,045.2179 | D |         |
| Common Stock | 09/12/2018 |  | S | 300 | D | \$ 74.16 | 11,745.2179 | D |         |
| Common Stock | 09/12/2018 |  | S | 97  | D | \$ 74.18 | 11,648.2179 | D |         |
| Common Stock |            |  |   |     |   |          | 289.4522    | I | By ESOP |

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

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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) | Amount or Number of Shares |       |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|-------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                      |       |
| Stock Option (Right to Buy)                | \$ 57.4  | 09/12/2018                           |  | M                              | 2,751   | 01/01/2017 <sup>(1)</sup>                                | 01/01/2024  | Common Stock               | 2,751 |
| Stock Option (Right to Buy)                | \$ 51.42   | 09/12/2018                           |  | M                              | 2,097   | 02/11/2018 <sup>(2)</sup>                                | 02/11/2025  | Common Stock               | 2,097 |
| Stock Option (Right to Buy)                | \$ 47.68   | 09/12/2018                           |  | M                              | 2,029   | 02/05/2018 <sup>(3)</sup>                                | 02/05/2026  | Common Stock               | 2,029 |
| Stock Option                               | \$ 41.37   |                                      |  |                                |   | 01/01/2012 <sup>(4)</sup>                                | 01/01/2019  | Common Stock               | 0     |

|                             |          |                           |            |              |       |
|-----------------------------|----------|---------------------------|------------|--------------|-------|
| (Right to Buy)              |          |                           |            |              |       |
| Stock Option (Right to Buy) | \$ 37.84 | 01/01/2013 <sup>(5)</sup> | 01/01/2020 | Common Stock | 0     |
| Stock Option (Right to Buy) | \$ 41.71 | 01/01/2014 <sup>(6)</sup> | 01/01/2021 | Common Stock | 0     |
| Stock Option (Right to Buy) | \$ 39.97 | 01/01/2015 <sup>(7)</sup> | 01/01/2022 | Common Stock | 0     |
| Stock Option (Right to Buy) | \$ 45.58 | 01/01/2016 <sup>(8)</sup> | 01/01/2023 | Common Stock | 0     |
| Stock Option (Right to Buy) | \$ 75.25 | 02/02/2019 <sup>(9)</sup> | 02/02/2027 | Common Stock | 2,446 |

## Reporting Owners

| Reporting Owner Name / Address                              | Relationships |           |                          |       |
|---|---------------|-----------|--------------------------|-------|
|   | Director      | 10% Owner | Officer                  | Other |
| Abraham Dana H<br>1010 GRAND BLVD.<br>KANSAS CITY, MO 64106 |               |           | Executive Vice President |       |

## Signatures

/s/ Megan L. Mercer, attorney-in-fact for Ms. Abraham  
09/13/2018

\_\_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 vest 50% on 1/1/2017, 75% on 1/1/2018, and 100% on 1/1/2019.
- (2) Options will vest 50% on 2/11/2018, 75% on 2/11/2019, and 75% on 2/11/2020.
- (3) Options will vest 50% on 2/5/2018, 75% on 2/5/2019, and 100% on 2/5/2020.
- (4) Options vested 50% on 1/1/2012, 75% on 1/1/2013, and 100% on 1/1/2014.
- (5) Options vested 50% on 1/1/2013; 75% on 1/1/2014; and 100% on 1/1/2015.

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- (6) Options vested 50% on 1/1/2014, 75% on 1/1/2015 and 100% on 1/1/2016.
- (7) Options vested 50% on 1/1/2015, 75% on 1/1/2016 and 100% on 1/1/2017.
- (8) Options vested 50% on 1/1/2016, 75% on 1/1/2017 and 100% on 1/1/2018.
- (9) Options will vest 50% on 2/2/19, 75% on 2/2/20, and 100% on 2/2/21.

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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