

UMB FINANCIAL CORP
Form 4
June 05, 2014

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 *
Smith Lawrence G

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

KANSAS CITY, MO 64106

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
06/04/2014

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Executive Vice President

6. Individual or Joint/Group Filing(Check Applicable Line)
 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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	06/04/2014		M	1,139	A \$ 41.37	8,424.8075 ⁽¹⁾	D
Common Stock	06/04/2014		M	1,189	A \$ 37.84	9,613.8075	D
Common Stock	06/04/2014		M	2,095	A \$ 41.71	11,708.8075	D
Common Stock	06/04/2014		S	1,755	D \$ 57.4	9,953.8075	D
Common Stock	06/04/2014		S	2,095	D \$ 57.44	7,858.8075	D

Edgar Filing: UMB FINANCIAL CORP - Form 4

Common Stock	06/04/2014	S	1,139	D	\$ 57.5	6,719.8075	D	
Common Stock						974.7779 ⁽²⁾	I	By 401(k)
Common Stock						209.1483 ⁽³⁾	I	by ESOP

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 (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
							Title
							Date Exercisable
							Expiration Date
							Code
							V (A) (D)
Stock Option (Right to Buy)	\$ 41.37	06/04/2014		M	1,139	01/01/2012 ⁽⁴⁾ 01/01/2019	Common Stock 1,139
Stock Option (Right to Buy)	\$ 37.84	06/04/2014		M	1,189	01/01/2013 ⁽⁵⁾ 01/01/2020	Common Stock 1,189
Stock Option (Right to Buy)	\$ 41.71	06/04/2014		M	2,095	01/01/2014 ⁽⁶⁾ 01/01/2021	Common Stock 2,095

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
	Executive Vice President

Smith Lawrence G
1010 GRAND BLVD
KANSAS CITY, MO 64106

Signatures

John C. Pauls, Attorney-In-Fact for Mr.
Smith

06/05/2014

 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) Includes shares acquired through dividend reinvestment of restricted stock shares
- (2) Participant acquired shares of UMB Financial Corporation through contributions to the UMB Financial 401(k) Plan
- (3) Reflects ESOP allocations and dispositions that have occurred
- (4) Options will vest 50% on 1/1/2012, 75% on 1/1/2013, and 100% on 1/1/2014
- (5) Options will vest 50% on 1/1/2013; 75% on 1/1/2014; and 100% on 1/1/2015
- (6) Options will vest 50% on 1/1/2014, 75% on 1/1/2015 and 100% on 1/1/2015

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.