Edgar Filing: TOMPKINS FINANCIAL CORP - Form 4

TOMPKINS Form 4 July 12, 201	5 FINANCIAL C	ORP					
Check th if no lon subject t Section Form 4 o Form 5 obligatio may con See Instr 1(b).	A 4 UNITED his box ger o 16. or Filed pur Section 17(IENT OF C suant to Sectant a) of the Public	CURITIES AND EXCHANGE COMMISS Washington, D.C. 20549 HANGES IN BENEFICIAL OWNERSHIP SECURITIES ion 16(a) of the Securities Exchange Act of 19 ic Utility Holding Company Act of 1935 or S he Investment Company Act of 1940	POF Number: 3235-0287 Number: January 31, Expires: 2005 Estimated average burden hours per response 0.5			
1. Name and A WEBER A	Address of Reporting LFRED J	Syn	Issuer Name and Ticker or Trading 5. Relation abol Issuer MPKINS FINANCIAL CORP MP]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (First) (Middle) C/O TOMPKINS FINANCIAL CORPORATION, P O BOX 460				Officer (give title 10% Owner Officer (give title Other (specify below)			
ITHACA, N	(Street)		d(Month/Day/Year) Applicable I _X_ Form fi	 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 			
(City)	(State)	(Zip)	Person				
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed	Code Disposed of (D) Beneficially	6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial (I) Ownership (Instr. 4) (Instr. 4)			
Reminder: Rep	-	le II - Derivativ	f securities beneficially owned directly or indirectly. Persons who respond to the information contained in this required to respond unless th displays a currently valid OM number. e Securities Acquired, Disposed of, or Beneficially O , calls, warrants, options, convertible securities)	form are not (9-02) ne form B control			

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount of	8. Pr
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orDerivative	Expiration Date	Underlying Securities	Deri

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Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	Securities Acquired (A) or Disposed (D) (Instr. 3, 4, and 5)		/Year)	(Instr. 3 and	4)	Secu (Inst
				Code V	(A) (I	0) Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock	<u>(1)</u>	07/08/2016		А	87.111	<u>(1)</u>	(1)	Common Stock	87.111	\$ 6

Reporting Owners

Reporting Owner Name / Address		Relationships					
		Director	10% Owner	Officer	Other		
WEBER ALFRED J C/O TOMPKINS FINANCIAL CORPORATION P O BOX 460 THACA, NY 14851		Х					
Signatures							
/s/ Alfred J. Weber	07/12/2016						

<u>**</u>Signature of Reporting Person

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

Date

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Each share of phantom stock is the economic equivalent of one share of common stock. Phantom stock represents deferred stock compensation under the Amended and Restated Retainer Plan for Eligible Directors of Tompkins Financial Corporation and its

- (1) Compensation under the Amended and Restated Retainer Plan for Engible Directors of Tompkins Planctal Corporation and its Wholly-Owned Subsidiaries. These shares are held in a rabbi trust pending distribution upon the occurrence of certain events specified in the Plan. The reporting person has no voting or investment power over the shares prior to such distribution.
- (2) Includes shares acquired through reinvestment of quarterly dividends.

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.