Edgar Filing: WEBER ALFRED J - Form 4

WEBER ALFRE	D J										
October 04, 2018											
FORM 4			CECU					NT.	PPROVAL		
Washington, D.C. 20549							COMMISSION	N OMB Number:	3235-0287		
Check this box if no longer								Expires:	January 31, 2005		
subject to Section 16. Form 4 or					Estimated averag burden hours per response						
Form 5 obligations may continue. <i>See</i> Instruction 1(b).	Section 17(a) of the l	Public U	tility Hol	ding Co		nge Act of 1934, of 1935 or Section 940				
(Print or Type Respon	nses)										
1. Name and Address of Reporting Person <u>*</u> WEBER ALFRED J			2. Issuer Name and Ticker or Trading Symbol			C	5. Relationship of Reporting Person(s) to Issuer				
			TOMPKINS FINANCIAL CORP [TMP]				(Check all applicable)				
(Last) (First) (Middle)			3. Date of Earliest Transaction (Month/Day/Year)				_X_Director10% Owner Officer (give titleOther (specify				
C/O TOMPKINS CORPORATION			10/04/2	-			below)	below)			
				Filed(Month/Day/Year)			Applicable Line)	_X_ Form filed by One Reporting Person			
ITHACA, NY 14	4851						Form filed by Person	More than One R	eporting		
(City) ((State)	(Zip)	Tab	le I - Non-l	Derivative	Securities A	cquired, Disposed	of, or Beneficia	lly Owned		
	ansaction Date th/Day/Year)	2A. Deemo Execution any (Month/Da	Date, if		Disposed (Instr. 3, 4	(A) or of (D) 4 and 5) (A) or	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 Beneficial Ownership (Instr. 4)		
				Code V	Amount	(D) Price					
Reminder: Report on	a separate line	for each cl	ass of sec	urities bene	-	-					
					inforr requi	nation cont red to respo iys a currei	pond to the colle ained in this form ond unless the fo ntly valid OMB co	n are not rm	SEC 1474 (9-02)		
	Tab					posed of, or convertible s	Beneficially Owner securities)	1			

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

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Security (Instr. 3)	or Exercise Price of Derivative Security	any (Month/Day/Year)	Code (Instr. 8)	of Derivativ Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	5	/Year)	(Instr. 3 and	4)	Securi (Instr.
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock	<u>(1)</u>				(1)	<u>(1)</u>	Common Stock	3,017.545	

Reporting Owners

Reporting	Relationships						
1 8				Officer	Other		
WEBER ALFRED J C/O TOMPKINS FI P O BOX 460 ITHACA, NY 1485	Х						
Signatures							
/s/ Alfred J. Weber	10/04/2018						
<u>**</u> 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).

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) 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.

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.