

UMB FINANCIAL CORP

Form 3

December 03, 2015

FORM 3**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**INITIAL STATEMENT OF 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 *

Johnson Shannon Andresen

(Last) (First) (Middle)

1010 GRAND BLVD.

(Street)

KANSAS CITY, MO 64106

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

11/23/2015

3. Issuer Name and Ticker or Trading Symbol
UMB FINANCIAL CORP [UMBF]4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
EVP/Chief HR Officer5. 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**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

5,162.8993

D

A

Common Stock

172.8376

I

By ESOP

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative
Security
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	11/20/2010	12/20/2017	Common Stock	800	\$ 38.54	D	Â
Stock Option (Right to Buy)	10/17/2011	11/17/2018	Common Stock	700	\$ 40.93	D	Â
Stock Option (Right to Buy)	01/01/2012	01/01/2019	Common Stock	287	\$ 41.37	D	Â
Stock Option (Right to Buy)	01/01/2013	01/01/2020	Common Stock	312	\$ 37.84	D	Â
Stock Option (Right to Buy)	01/01/2014 ⁽¹⁾	01/01/2021	Common Stock	604	\$ 41.71	D	Â
Stock Option (Right to Buy)	01/01/2015 ⁽²⁾	01/01/2022	Common Stock	385	\$ 45.07	D	Â
Stock Option (Right to Buy)	01/01/2015 ⁽²⁾	01/01/2022	Common Stock	461	\$ 39.97	D	Â
Stock Option (Right to Buy)	01/01/2016 ⁽³⁾	01/01/2023	Common Stock	834	\$ 45.58	D	Â
Stock Option (Right to Buy)	01/01/2017 ⁽⁴⁾	01/01/2024	Common Stock	1,036	\$ 57.4	D	Â
Stock Option (Right to Buy)	02/11/2025 ⁽⁵⁾	02/11/2025	Common Stock	2,709	\$ 51.42	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Johnson Shannon Andresen 1010 GRAND BLVD. KANSAS CITY, MO 64106	Â	Â	Â EVP/Chief HR Officer	Â

Signatures

/s/ John C. Pauls, Attorney-in-Fact for Ms. Johnson 12/03/2015

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, see Instruction 5(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 are exercisable 50% on 1/1/2014, 75% on 1/1/2015, and 100% on 1/1/2016

(2) Options will vest 50% on 1/1/2015, 75% on 1/1/2016 and 100% on 1/1/2017.

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- (3) The option vests 50% on 1/1/16; 75% on 1/1/17 and 100% on 1/1/18
- (4) Options vest 50% on 1/1/2017, 75% on 1/1/2018, and 100% on 1/1/2019
- (5) Options will vest 50% on 2/11/2018, 75% on 2/11/2019, and 75% on 2/11/2020

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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