

UMB FINANCIAL CORP
Form 3
December 03, 2015

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

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2015
Estimated 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 *			2. Date of Event Requiring Statement		3. Issuer Name and Ticker or Trading Symbol	
Å Johnson Shannon Andresen			(Month/Day/Year)		UMB FINANCIAL CORP [UMBF]	
(Last)	(First)	(Middle)	11/23/2015		4. Relationship of Reporting Person(s) to Issuer	
1010 GRAND BLVD.					5. If Amendment, Date Original Filed(Month/Day/Year)	
(Street)					(Check all applicable)	
KANSAS CITY, Å MO Å 64106					6. Individual or Joint/Group Filing(Check Applicable Line)	
(City)	(State)	(Zip)			<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) EVP/Chief HR Officer	
					<input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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	Å
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)

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.

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 Derivative	5. 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. 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.