

KEMPER J MARINER
Form 4
May 02, 2019

FORM 4

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

OMB APPROVAL

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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 *
KEMPER J MARINER

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

Director 10% Owner
 Officer (give title below) Other (specify below)

1010 GRAND BLVD.

05/01/2019

Chairman and CEO

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)

KANSAS CITY, MO 64106

Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock | 05/01/2019 | | S | 100 D | \$ 69.095 191,611.1535 (1) | D | |
| Common Stock | 05/01/2019 | | S | 94 D | \$ 69.11 191,517.1535 | D | |
| Common Stock | 05/01/2019 | | S | 55 D | \$ 69.13 191,462.1535 | D | |
| Common Stock | 05/01/2019 | | S | 145 D | \$ 69.14 191,317.1535 | D | |
| Common Stock | 05/01/2019 | | S | 100 D | \$ 69.145 191,217.1535 | D | |

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| | | | | | | | |
|--------------|------------|---|-----|---|-----------|--------------|---|
| Common Stock | 05/01/2019 | S | 100 | D | \$ 69.175 | 191,117.1535 | D |
| Common Stock | 05/01/2019 | S | 100 | D | \$ 69.19 | 191,017.1535 | D |
| Common Stock | 05/01/2019 | S | 200 | D | \$ 69.22 | 190,817.1535 | D |
| Common Stock | 05/01/2019 | S | 100 | D | \$ 69.225 | 190,717.1535 | D |
| Common Stock | 05/01/2019 | S | 400 | D | \$ 69.23 | 190,317.1535 | D |
| Common Stock | 05/01/2019 | S | 500 | D | \$ 69.26 | 189,817.1535 | D |
| Common Stock | 05/01/2019 | S | 100 | D | \$ 69.27 | 189,717.1535 | D |
| Common Stock | 05/01/2019 | S | 400 | D | \$ 69.28 | 189,317.1535 | D |
| Common Stock | 05/01/2019 | S | 306 | D | \$ 69.29 | 189,011.1535 | D |
| Common Stock | 05/01/2019 | S | 100 | D | \$ 69.315 | 188,911.1535 | D |
| Common Stock | 05/01/2019 | S | 100 | D | \$ 69.32 | 188,811.1535 | D |
| Common Stock | 05/01/2019 | S | 100 | D | \$ 69.33 | 188,711.1535 | D |

| | | | | | | | | |
|--------------|--|--|--|--|--|------------|---|---|
| Common Stock | | | | | | 1,000 | I | By Daughter - Custodial Brokerage Account |
| Common Stock | | | | | | 1,985.8758 | I | By Esop |
| Common Stock | | | | | | 1,000 | I | By Son - Custodial Brokerage Account |
| Common Stock | | | | | | 60,800 | I | By Trust - TUW RC Kemper For John Mariner |
| Common Stock | | | | | | 290,397 | I | Held by Kemper Realty |

| | | | |
|--------------|-----------|---|--|
| Common Stock | 395,989 | I | Held by Pioneer Service Corporation |
| Common Stock | 2,102,186 | I | By Trust - RC Kemper Irrevocable Trust |

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

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(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 Acquired (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) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Own Follo Trans (Instr |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | | | Code | V (A) (D) | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------|-------|
| | Director | 10% Owner | Officer | Other |
| KEMPER J MARINER 1010 GRAND BLVD. KANSAS CITY, MO 64106 | X | | Chairman and CEO | |

Signatures

/s/ Megan L. Mercer,
attorney-in-fact

05/02/2019

__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) Reflects shares acquired through the reinvestment of dividends on restricted stock.

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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