

Abraham Dana H  
Form 4  
September 13, 2018

# FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287  
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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 \*  
Abraham Dana H

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.

09/12/2018

Executive Vice President

(Street)

4. 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

KANSAS CITY, MO 64106

(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 Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	09/12/2018		M		2,751	A	\$ 57.4
Common Stock	09/12/2018		M		2,097	A	\$ 51.42
Common Stock	09/12/2018		M		2,029	A	\$ 47.68
Common Stock	09/12/2018		S		200	D	\$ 73.89
Common Stock	09/12/2018		S		200	D	\$ 73.915

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Common Stock	09/12/2018	S	197	D	\$ 73.96	17,325.2179	D
Common Stock	09/12/2018	S	3	D	\$ 73.97	17,322.2179	D
Common Stock	09/12/2018	S	200	D	\$ 73.98	17,122.2179	D
Common Stock	09/12/2018	S	200	D	\$ 73.995	16,922.2179	D
Common Stock	09/12/2018	S	300	D	\$ 74	16,622.2179	D
Common Stock	09/12/2018	S	331	D	\$ 74.01	16,291.2179	D
Common Stock	09/12/2018	S	100	D	\$ 74.025	16,191.2179	D
Common Stock	09/12/2018	S	238	D	\$ 74.03	15,953.2179	D
Common Stock	09/12/2018	S	100	D	\$ 74.035	15,853.2179	D
Common Stock	09/12/2018	S	700	D	\$ 74.04	15,153.2179	D
Common Stock	09/12/2018	S	100	D	\$ 74.045	15,053.2179	D
Common Stock	09/12/2018	S	100	D	\$ 74.05	14,953.2179	D
Common Stock	09/12/2018	S	150	D	\$ 74.06	14,803.2179	D
Common Stock	09/12/2018	S	300	D	\$ 74.07	14,503.2179	D
Common Stock	09/12/2018	S	200	D	\$ 74.08	14,303.2179	D
Common Stock	09/12/2018	S	150	D	\$ 74.09	14,153.2179	D
Common Stock	09/12/2018	S	708	D	\$ 74.1	13,445.2179	D
Common Stock	09/12/2018	S	200	D	\$ 74.11	13,245.2179	D
Common Stock	09/12/2018	S	300	D	\$ 74.12	12,945.2179	D
Common Stock	09/12/2018	S	484	D	\$ 74.13	12,461.2179	D
	09/12/2018	S	111	D	\$ 74.14	12,350.2179	D

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Common Stock									
Common Stock	09/12/2018		S	305	D	\$ 74.15	12,045.2179	D	
Common Stock	09/12/2018		S	300	D	\$ 74.16	11,745.2179	D	
Common Stock	09/12/2018		S	97	D	\$ 74.18	11,648.2179	D	
Common Stock							289.4522	I	By ESOP

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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
Stock Option (Right to Buy)	\$ 57.4	09/12/2018		M	2,751	01/01/2017 <sup>(1)</sup>	01/01/2024	Common Stock	2,751
Stock Option (Right to Buy)	\$ 51.42	09/12/2018		M	2,097	02/11/2018 <sup>(2)</sup>	02/11/2025	Common Stock	2,097
Stock Option (Right to Buy)	\$ 47.68	09/12/2018		M	2,029	02/05/2018 <sup>(3)</sup>	02/05/2026	Common Stock	2,029
Stock Option	\$ 41.37					01/01/2012 <sup>(4)</sup>	01/01/2019	Common Stock	0

(Right to Buy)						
Stock Option (Right to Buy)	\$ 37.84		01/01/2013 <sup>(5)</sup>	01/01/2020	Common Stock	0
Stock Option (Right to Buy)	\$ 41.71		01/01/2014 <sup>(6)</sup>	01/01/2021	Common Stock	0
Stock Option (Right to Buy)	\$ 39.97		01/01/2015 <sup>(7)</sup>	01/01/2022	Common Stock	0
Stock Option (Right to Buy)	\$ 45.58		01/01/2016 <sup>(8)</sup>	01/01/2023	Common Stock	0
Stock Option (Right to Buy)	\$ 75.25		02/02/2019 <sup>(9)</sup>	02/02/2027	Common Stock	2,446

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Abraham Dana H 1010 GRAND BLVD. KANSAS CITY, MO 64106			Executive Vice President	

## Signatures

/s/ Megan L. Mercer, attorney-in-fact for Ms. Abraham

09/13/2018

\_\_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) Options vest 50% on 1/1/2017, 75% on 1/1/2018, and 100% on 1/1/2019.
- (2) Options will vest 50% on 2/11/2018, 75% on 2/11/2019, and 75% on 2/11/2020.
- (3) Options will vest 50% on 2/5/2018, 75% on 2/5/2019, and 100% on 2/5/2020.
- (4) Options vested 50% on 1/1/2012, 75% on 1/1/2013, and 100% on 1/1/2014.
- (5) Options vested 50% on 1/1/2013; 75% on 1/1/2014; and 100% on 1/1/2015.

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- (6) Options vested 50% on 1/1/2014, 75% on 1/1/2015 and 100% on 1/1/2016.
- (7) Options vested 50% on 1/1/2015, 75% on 1/1/2016 and 100% on 1/1/2017.
- (8) Options vested 50% on 1/1/2016, 75% on 1/1/2017 and 100% on 1/1/2018.
- (9) Options will vest 50% on 2/2/19, 75% on 2/2/20, and 100% on 2/2/21.

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