

UMB FINANCIAL CORP  
Form 3  
December 03, 2015

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

OMB APPROVAL

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**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 <b>and</b> Ticker or Trading Symbol   |  |
| Â Swett Christian R                       |         | (Month/Day/Year)   | UMB FINANCIAL CORP [UMBF]  |  |
| (Last)                                    | (First) | (Middle)   | 11/23/2015   |  |
| 1010 GRAND BLVD.                          |         | 4. Relationship of Reporting Person(s) to Issuer                     |  | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
| (Street)                                  |         | (Check all applicable)   |  | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
| KANSAS CITY,Â MOÂ 64106                   |         | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner |  | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| (City)                                    | (State) | (Zip)  | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (specify below) |  |
|   |         | EVP/Chief Credit Officer   |  | <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                    | 5,632.7881  | D  | Â   |
| Common Stock                    | 843.9034  | 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) | 11/13/2009                | 12/13/2016      | Common Stock | 1,400                      | \$ 36.36 | D                                     | Â |
| Stock Option (Right to Buy) | 11/20/2010                | 12/20/2017      | Common Stock | 1,400                      | \$ 38.54 | D                                     | Â |
| Stock Option (Right to Buy) | 10/17/2011                | 11/07/2018      | Common Stock | 1,400                      | \$ 40.93 | D                                     | Â |
| Stock Option (Right to Buy) | 01/01/2012                | 01/01/2019      | Common Stock | 791                        | \$ 41.37 | D                                     | Â |
| Stock Option (Right to Buy) | 01/01/2013                | 01/01/2020      | Common Stock | 434                        | \$ 37.84 | D                                     | Â |
| Stock Option (Right to Buy) | 01/01/2014 <sup>(1)</sup> | 01/01/2021      | Common Stock | 1,935                      | \$ 41.71 | D                                     | Â |
| Stock Option (Right to Buy) | 01/01/2015 <sup>(2)</sup> | 01/01/2022      | Common Stock | 2,501                      | \$ 39.97 | D                                     | Â |
| Stock Option (Right to Buy) | 01/01/2016 <sup>(3)</sup> | 01/01/2023      | Common Stock | 2,532                      | \$ 45.58 | D                                     | Â |
| Stock Option (Right to Buy) | 01/01/2017 <sup>(4)</sup> | 01/01/2024      | Common Stock | 2,038                      | \$ 57.4  | D                                     | Â |
| Stock Option (Right to Buy) | 02/11/2018 <sup>(5)</sup> | 02/11/2025      | Common Stock | 4,046                      | \$ 51.42 | D                                     | Â |

## Reporting Owners

| Reporting Owner Name / Address                                 | Relationships |           |                            |       |
|--|---------------|-----------|----------------------------|-------|
|  | Director      | 10% Owner | Officer                    | Other |
| Swett Christian R<br>1010 GRAND BLVD.<br>KANSAS CITY, MO 64106 | Â             | Â         | Â EVP/Chief Credit Officer | Â     |

## Signatures

/s/ John C. Pauls, attorney-in-fact for Mr. Swett 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 exercisable 50% after 1/1/14, 75% after 1/1/15, and 100% after 1/1/16

(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.