

UMB FINANCIAL CORP
Form 4
November 20, 2013

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 *
Hagedorn Michael D

(Last) (First) (Middle)
1010 GRAND BLVD.
(Street)

KANSAS CITY, MO 64106

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
11/19/2013

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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 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)
			Code	V	Amount (D) Price		
Common Stock	11/19/2013		S		934 D \$ 62	43,488.9135	D
Common Stock	11/19/2013		M		5,000 A \$ 34.84	48,488.9135	D
Common Stock	11/19/2013		F		3,776 D \$ 61.98	44,712.9135	D
Common Stock	11/20/2013		M		5,170 A \$ 34.84	49,882.9135	D
Common Stock	11/20/2013		S		1,000 D \$ 62.0601	48,882.9135	D

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Common Stock	11/20/2013	S	700	D	\$ 62.06	48,182.9135	D	
Common Stock	11/20/2013	S	300	D	\$ 62.08	47,882.9135	D	
Common Stock	11/20/2013	S	100	D	\$ 62.07	47,782.9135	D	
Common Stock	11/20/2013	S	200	D	\$ 62.05	47,582.9135	D	
Common Stock	11/20/2013	S	139	D	\$ 62.04	47,443.9135	D	
Common Stock	11/20/2013	S	132	D	\$ 62.03	47,311.9135	D	
Common Stock	11/20/2013	S	429	D	\$ 62.02	46,882.9135	D	
Common Stock	11/20/2013	S	2,170	D	\$ 62.02	44,712.9135 (1)	D	
Common Stock						139.887	I	By ESOP

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

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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
Stock Option (Right to Buy)	\$ 38.84	11/19/2013		M	5,000	01/01/2012 ⁽²⁾ 01/01/2017	Common Stock	5,000
	\$ 34.84	11/20/2013		M		01/01/2009 ⁽⁴⁾ 01/01/2016		5,170

Stock Option (Right to Buy)	5,170 <u>(3)</u>	Common Stock
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hagedorn Michael D 1010 GRAND BLVD. KANSAS CITY, MO 64106			Chief Financial Officer	

Signatures

John Pauls, Attorney-in-fact for Mr. Hagedorn	11/20/2013
<u> </u> **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) Includes shares acquired from dividend reinvestment
- (2) Options will vest 50% on the third 1/1/2010; 75% on the 1/1/2011; and 100% on 1/1/2012.
- (3) On May 30, 2006, the common stock of UMB Financial Corporation split 2-for-1 resulting in additional shares
- (4) Options vest 50% after 3years, 75% after 4 years and 100% after 5 years

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.