

Cornelius James
Form 3
May 03, 2018

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 * Â Cornelius James (Last) (First) (Middle) 1010 GRAND BLVD. (Street) KANSAS CITY,Â MOÂ 64106 (City) (State) (Zip)	2. Date of Event Requiring Statement (Month/Day/Year) 04/24/2018	3. Issuer Name and Ticker or Trading Symbol UMB FINANCIAL CORP [UMBF]	4. Relationship of Reporting Person(s) to Issuer (Check all applicable) ____ Director ____ 10% Owner <u> X </u> Officer ____ Other (give title below) (specify below) Executive Vice President	5. If Amendment, Date Original Filed(Month/Day/Year)	6. Individual or Joint/Group Filing(Check Applicable Line) <u> X </u> Form filed by One Reporting Person ____ Form filed by More than One Reporting Person
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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	5,913	D	Â
Common Stock	80.6713	I	By ESOP

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
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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)	01/01/2017 ⁽¹⁾	01/01/2024	Common Stock	786	\$ 57.4	D	Â
Stock Option (Right to Buy)	02/11/2018 ⁽²⁾	02/11/2025	Common Stock	1,757	\$ 51.42	D	Â
Stock Option (Right to Buy)	02/05/2018 ⁽³⁾	02/05/2026	Common Stock	1,578	\$ 47.68	D	Â
Stock Option (Right to Buy)	02/02/2019 ⁽⁴⁾	02/02/2027	Common Stock	1,957	\$ 75.25	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cornelius James 1010 GRAND BLVD. KANSAS CITY, MO 64106	Â	Â	Â Executive Vice President	Â

Signatures

/s/ Megan L. Mercer, attorney-in-fact for Mr. Cornelius

05/03/2018

____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 vest 100% on 1/1/19.

(2) Options will vest 50% on 2/11/19 and 100% on 2/11/2020.

(3) Options vest 50% on 2/5/2019 and 100% on 2/5/2020.

(4) Options will vest 50% on 2/2/19, 75% on 2/2/20, and 100% on 2/2/21.

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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