

TOMPKINS FINANCIAL CORP

Form 4

November 06, 2014

**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 \*  
**BOYCE DAVID S**

2. Issuer Name and Ticker or Trading Symbol  
**TOMPKINS FINANCIAL CORP  
[TMP]**

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
**11/04/2014**

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
**EVP, Pres. & CEO Tompkins Ins.**

**TOMPKINS FINANCIAL CORPORATION, P O BOX 460**

(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

**ITHACA, NY 14851**

(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)			
				(A) or (D)	Price					
				Code	V	Amount				
Common Stock	11/04/2014		M		5,227	A	\$ 37.28	19,354	D	
Common Stock	11/04/2014		S		5,227	D	\$ 49.69	14,127	D	
Common Stock	11/04/2014		M		3,042	A	\$ 38.54	17,169	D	
Common Stock	11/04/2014		S		3,042	D	\$ 49.36	14,127	D	
Common Stock	11/04/2014		M		4,124	A	\$ 37.28	18,251	D	

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Common Stock	11/04/2014	S	4,124	D	\$ 49.35	14,127	D	
Common Stock	11/04/2014	M	6,639	A	\$ 38.54	20,766	D	
Common Stock	11/04/2014	S	6,639	D	\$ 49.23	14,127	D	
Common Stock						437	I	by 401(k)/ISOP
Common Stock						1,550	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
Non-qualified Stock Option (Right to Buy)	\$ 37.2727	11/04/2014		M	5,227	<u>(1)</u> 11/29/2017	Common Stock	5,227
Non-qualified Stock Option (Right to Buy)	\$ 38.5364	11/04/2014		M	3,042	<u>(1)</u> 01/23/2016	Common Stock	3,042
Incentive Stock Option (Right to Buy)	\$ 37.2727	11/04/2014		M	4,124	<u>(1)</u> 11/29/2017	Common Stock	4,124
Incentive Stock Option (Right to Buy)	\$ 38.5364	11/04/2014		M	6,639	<u>(1)</u> 01/23/2016	Common Stock	6,639

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BOYCE DAVID S TOMPKINS FINANCIAL CORPORATION P O BOX 460 ITHACA, NY 14851			EVP, Pres. & CEO Tompkins Ins.	

## Signatures

/s/ David S.  
Boyce

11/06/2014

\*\*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) The stock option becomes exercisable in six annual installments commencing two years after the date of grant.

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.