

Form



10025494

11-312
OMB# 1557-0184
EXPIRES
9/30/2000

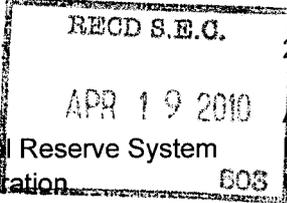
Notice of Government Securities Broker
Activities

ities Dealer

To Be Filed by a Financial Institution Under Section 15C(a)(1)(B)
Of the Securities Exchange Act of 1934

1. Appropriate regulatory agency (check one)

- A. Comptroller of the Currency
- B. Board of Governors of the Federal Reserve System
- C. Federal Deposit Insurance Corporation
- D. Office of Thrift Supervision
- E. Securities and Exchange Commission

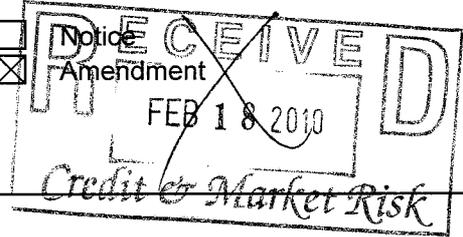


2. Filing status of notice (check as applicable):

- A. Government Securities Broker
- B. Government Securities Dealer
- C. Government Securities Broker and Dealer

3. Filing status of notice (check as applicable):

- D. Notice
- E. Amendment



4. A. Full name of Financial Institution:

UMB Bank n.a. Investment Banking Division

B. Address of principal office of Financial Institution:

1010 Grand Blvd, Kansas City, MO 64106

C. Address of principal office where government securities broker or government securities dealer activities will be conducted [if different than item (B)]:

same

D. Mailing address if different from (B) or (C):

P.O. Box 419226, Kansas City, MO 64141-6226

E. Name, title and telephone number of contact person with respect to this notice:

Stephen M. Kitts

Executive V. President

816-860-1559

Name

Title

Telephone

5. Does the Financial Institution conduct, or will it conduct, government securities broker or government securities dealer activities at any location other than given in Question 4 above? A. X Yes B. ___ No

(If yes, provide addresses and describe activities.)

There are branches of the Investment Banking Division located at the UMB Bank at 2 South Broadway, St. Louis,

MO, UMB National Bank of America at 100 South Santa Fe, Salina, KS, UMB Columbine National Bank, 6900 E.

Hampden, Denver, CO; UMB Bank at 1041 S Woods Mill Rd Chesterfield, MO ; UMB Bank Omaha at

11808 W. Center Rd, Omaha, NE. Sales Reps of UMB Bank, n.a. Investment Banking Division conduct

municipal & government securities transactions for the convenience of our customers in our other branches.

These locations are listed separately and attached. The Kansas City 1010 Grand Blvd location provides

all information and support for dealing in municipal and government securities.

Handwritten initials and numbers: 88, 67, 19

6. Furnish the name and title of each person who is directly engaged in the management, direction or supervision of any of the financial institution's government securities broker or government securities dealer activities:

Full Name

See attached list

| Last | First | Middle | Title |
|------|-------|--------|-------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Note: Attach a separate Form G-Fin-4 (or, if previously filed, a copy of Form MSD-4 or Form U-4) for each person named in response to Item 6.

7. Has any "associated person" (see definition in paragraph A.7. of the Instructions) responded "yes" to any question in Item 17 of Form G-Fin-4, or "yes" to one or more questions in Items 20 through 25 of Form MSD-4 or Item 22 on Form U-4? A. Yes B. No

(If yes, attach a copy of Form G-FIN-4, Form MSD-4, or Form U-4 for all such persons with this Notice.)

Note: The financial institution and the person executing this form are responsible for making an inquiry of all other employers of any associated person during the immediately preceding three years for the purpose of verifying the accuracy of the information furnished on Form G-FIN-4. [See 17 C.F.R. 400.4(c)]. Similar requirements are applicable to Form MSD-4 and Form U-4.

8. The financial institution submitting this notice and the person executing it represent that all of the information contained herein is true, current and complete.

Please print name and title of person executing this notice:

| | | | |
|---------|--------|-------|----------------------------------|
| Stephen | M. | Kitts | EVP and Banking Services Manager |
| First | Middle | Last | Title |

Stephen M. Kitts
Manual Signature

2/17/10
Date

Investment Banking Division Principals involved in management, direction or supervision of the institution are noted below.

| Last Name | First Name | Employment Date with the bank | 53 | Title | Location |
|-----------|---------------|-------------------------------|------------|---|---------------|
| Bane | Sondra | 3/2/1998 | 7/25/2006 | VP- IBD Compliance & Risk Mgr. | KC-1010 Grand |
| Beahan | Ellen | 10/30/2000 | 8/12/2009 | VP-Investment Services Officer Supervisor | KC-1010 Grand |
| Curtis | Jack LeRoy | 1/17/2001 | 9/25/2003 | VP-Mgr of IBD Ops | KC-928 Grand |
| Daniel | Sonja Nimi | 6/13/1990 | 10/20/1992 | VP-Mgr of Safekeeping Ops | KC-928 Grand |
| Gobel | Jeffrey Paul | 1/27/1982 | 3/2/1993 | Exec. Vice President | KC-1010 Grand |
| Kitts | Stephen | 8/1/2007 | 5/6/1991 | EVP & Banking Services Mgr. | KC-1010 Grand |
| Phillips | John Gregory | 12/13/1976 | 3/18/1986 | Sr. Vice President | KC-1010 Grand |
| Richter | Philip Brian | 4/29/1997 | 4/9/1998 | Sr. Vice President | KC-1010 Grand |
| Smith | Samuel "Todd" | 9/24/2007 | 7/16/2003 | Vice President | KC-1010 Grand |
| Trudell | Andre | 5/25/1999 | 2/13/2009 | SVP/National Sales Director | KC-1010 Grand |

Investment Banking Division Locations

- UMB Bank 1010 Grand Blvd KC, MO
- UMB Bank 1014 S Woods Mill Rd Chesterfield, MO
- UMB Bank 2 South Broadway, St. Louis, MO
- UMB National Bank of America, 100 South Santa Fe Salina, KS
- UMB Columbine National Bank, 6900 E Hampden, Denver, CO
- UMB Bank Omaha 11808 W Center Rd, Omaha, NE