

HARTZ GREGORY J  
Form 5  
February 01, 2013

# FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362  
Expires: January 31, 2005  
Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  
Form 3 Holdings Reported Form 4 Transactions Reported

**ANNUAL 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

1. Name and Address of Reporting Person \*  
HARTZ GREGORY J

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. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
12/31/2012

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
EVP, Pres.&CEO Tompkins Trust

TOMPKINS FINANCIAL CORPORATION, P.O. BOX 460

(Street)

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

6. Individual or Joint/Group Reporting

(check applicable line)

ITHACA, NY 14851

Form Filed by One Reporting Person  
 Form Filed by More than One Reporting Person

(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 at end of Issuer's Fiscal Year (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			
Common Stock	^	^	^	^ ^ ^	2,502 <sup>(1)</sup>	D	^
Common Stock	^	^	^	^ ^ ^	2,606 <sup>(2)</sup>	I	by 401(k)/ISOP
Common Stock	^	^	^	^ ^ ^	1,405 <sup>(2)</sup>	I	by ESOP
Common	^	^	^	^ ^ ^	45 <sup>(1)</sup>	I	By Son

Edgar Filing: HARTZ GREGORY J - Form 5

Stock

Common Stock Drip	Â	Â	Â	Â	Â	Â	14	I	By Daughter
Common Stock Drip	Â	Â	Â	Â	Â	Â	14	I	By Daughter 2

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

**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.**

SEC 2270  
(9-02)

**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	
					(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Incentive Stock Option (Right to Buy)	\$ 35.6818	Â	Â	Â	Â	Â	Â (3)	09/16/2013	Common Stock	1,997
Incentive Stock Option (Right to Buy)	\$ 35.7636	Â	Â	Â	Â	Â	Â (3)	05/03/2014	Common Stock	2,996
Incentive Stock Option (Right to Buy)	\$ 38.5364	Â	Â	Â	Â	Â	Â (4)	01/23/2016	Common Stock	6,050
Incentive Stock Option (Right to Buy)	\$ 39.5545	Â	Â	Â	Â	Â	Â (4)	01/18/2017	Common Stock	8,250
Incentive Stock Option (Right to Buy)	\$ 37.2727	Â	Â	Â	Â	Â	Â (4)	11/29/2017	Common Stock	2,150
Non-qualified Stock Option (Right to Buy)	\$ 37.2727	Â	Â	Â	Â	Â	Â (4)	11/29/2017	Common Stock	8,851
Stock Appreciation Rights (SAR)	\$ 41.7091	Â	Â	Â	Â	Â	Â (5)	09/17/2019	Common Stock	11,000

Stock  
 Appreciation \$ 37      Â      Â      Â      Â      Â      Â      (5)      08/19/2021      Common Stock      5,250  
 Rights (SAR)

## Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
HARTZ GREGORY J TOMPKINS FINANCIAL CORPORATION P.O. BOX 460 ITHACA, NY 14851	Â	Â	Â	EVP, Pres.&CEO Tompkins Trust	Â

## Signatures

/s/ Gregory J.      01/30/2013  
 Hartz

\_\_Signature of      Date  
 Reporting Person

## 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 through reinvestment of quarterly dividends.
- (2) Reflects all 401K/ISOP/ESOP allocations and dispositions since the filing of the reporting person's last ownership report.
- (3) The stock option becomes exercisable in four annual installments commencing two years after the date of grant.
- (4) The stock option becomes exercisable in six annual installments commencing two years after the date of grant.
- (5) Stock Appreciation Rights (SARs) were granted pursuant to the Tompkins Financial Corporation 2009 Equity Plan. SARs have a seven year vesting schedule with 0% vesting in year one, 17% vesting in years two through six, and 15% vesting in year seven. When exercised, the SARs will be settled in Common Stock of the Company. The grant will expire ten years from the date of the grant.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.