

TOMPKINS FINANCIAL CORP  
 Form 5  
 February 11, 2014

# FORM 5

**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).  
 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 \*  
**FULMER JAMES W**

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)  
 12/31/2013

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
 Vice Chairman

**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**

(City) (State) (Zip)

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)	(A) or (D)	Price	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 Ownership (Instr. 4)
Common Stock	Â	Â	Â	Â	Â	Â	56,799 <sup>(1)</sup>	D	Â
Common Stock	Â	Â	Â	Â	Â	Â	9,948 <sup>(2)</sup>	I	by ESOP
Common Stock	Â	Â	Â	Â	Â	Â	28,155 <sup>(3)</sup>	I	By Spouse

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

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(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
Incentive Stock Option (Right to Buy)	\$ 35.7636	Â	Â	Â	Â	Â (4) 05/03/2014	Common Stock	11,18
Incentive Stock Option (Right to Buy)	\$ 38.5364	Â	Â	Â	Â	Â (5)(6) 01/23/2016	Common Stock	7,986
Incentive Stock Option (Right to Buy)	\$ 37.2727	Â	Â	Â	Â	Â (6)(7) 11/29/2017	Common Stock	4,123
Non-qualified Stock Option (Right to Buy)	\$ 35.7636	Â	Â	Â	Â	Â (4) 05/03/2014	Common Stock	2,130
Non-qualified Stock Option (Right to Buy)	\$ 38.5364	Â	Â	Â	Â	Â (5)(6) 01/23/2016	Common Stock	4,114
Non-qualified Stock Option (Right to Buy)	\$ 37.2727	Â	Â	Â	Â	Â (6)(7) 11/29/2017	Common Stock	6,878
Stock Appreciation Rights (SAR)	\$ 41.7091	Â	Â	Â	Â	Â (8) 09/17/2019	Common Stock	11,000
Stock Appreciation Rights (SAR)	\$ 37	Â	Â	Â	Â	Â (8) 08/19/2021	Common Stock	5,250
Stock Appreciation Rights (SAR)	\$ 40.6	Â	Â	Â	Â	Â (8) 05/03/2023	Common Stock	3,055

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
FULMER JAMES W TOMPKINS FINANCIAL CORPORATION P O BOX 460 ITHACA, NY 14851	X		Vice Chairman	

## Signatures

/s/ James W.  
Fulmer

02/07/2014

\*\*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).
- As indicated in a Form 4 filed by the reporting person on 10/25/2013, this total includes 250 shares which had been inadvertently omitted
- (1) from previously filed Form 4s. The reporting person's corrected holdings were reflected in the 10/25/2013 Form 4 and in any subsequently filed Form 4s.
  - (2) Includes shares acquired through profit sharing, 401K contributions and reinvestment of quarterly cash dividends.
- As indicated in a Form 4 filed by the reporting person on 10/25/2013, this total includes 2,557 shares which had been inadvertently omitted from previously filed Form 4s. The reporting person's corrected holdings were reflected in the 10/25/2013 form 4 and in any subsequently filed Form 4s.
- (4) The stock option becomes exercisable in four annual installments commencing two years after the date of grant.
  - (5) The option becomes exercisable in six annual installments commencing two years after the date of the grant.
  - (6) The stock option becomes exercisable in six annual installments commencing two years after the date of grant.
  - (7) The option becomes exercisable in six annual installments commencing two years after the date of grant.
- Stock Appreciation Rights (SARs) were granted pursuant to the Tompkins Financial Corporation 2009 Equity Plan. SARs have a seven
- (8) 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.