

UMPQUA HOLDINGS CORP

Form 4

December 08, 2016

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
MCLAUGHLIN NEAL T

(Last) (First) (Middle)

ONE SW COLUMBIA STREET,  
SUITE 1200

(Street)

PORTLAND, OR 97258

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
UMPQUA HOLDINGS CORP  
[UMPQ]

3. Date of Earliest Transaction  
(Month/Day/Year)  
12/07/2016

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer (give title below) \_\_\_\_ Other (specify below)  
EVP/Treasurer

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_X\_\_ 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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|---|---|--|--|---|
|                                       |   |   | Code                                    | V   | Amount<br>(A)<br>or<br>(D)   | Price  |   |
| Common<br>Stock                       | 12/07/2016                              |   | M                                       |   | 2,000  | A \$ 9.23  | 80,801 D  |
| Common<br>Stock                       | 12/07/2016                              |   | F                                       |   | 975 <u>(1)</u>   | D \$ 18.93   | 79,826 D  |
| Common<br>Stock                       | 12/07/2016                              |   | F                                       |   | 372 <u>(2)</u>   | D \$ 18.93   | 79,454 D  |
| Common<br>Stock                       | 12/07/2016                              |   | M                                       |   | 5,000  | A \$ 10.97   | 84,454 D  |
| Common<br>Stock                       | 12/07/2016                              |   | F                                       |   | 2,905<br><u>(1)</u>  | D \$ 18.88   | 81,549 D  |

Edgar Filing: UMPQUA HOLDINGS CORP - Form 4

|              |            |   |                    |   |                |        |   |           |
|--------------|------------|---|--------------------|---|----------------|--------|---|-----------|
| Common Stock | 12/07/2016 | F | 764 <sup>(2)</sup> | D | \$ 18.93       | 80,785 | D |           |
| Common Stock | 12/07/2016 | J | 17 <sup>(3)</sup>  | A | <sup>(4)</sup> | 866    | I | by 401(k) |

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 1474  
(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 (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 Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|--|--|---|
|  |  |                                      |  | Code                           | V (A) (D)  | Date Exercisable Expiration Date                         | Title   |
| Non-Qualified Stock Option (right to buy)  | \$ 9.23  | 12/07/2016                           |  | M                              | 2,000  | 02/02/2010 <sup>(5)</sup> 02/01/2019                     | Common Stock  |
| Non-Qualified Stock Option (right to buy)  | \$ 10.97   | 12/07/2016                           |  | M                              | 5,000  | 01/31/2012 <sup>(5)</sup> 01/30/2021                     | Common Stock  |
| Non-Qualified Stock Option (right to buy)  | \$ 11.89   |                                      |  |                                |  | 02/05/2011 <sup>(5)</sup> 02/05/2020                     | Common Stock  |
| Non-Qualified Stock Option (right to buy)  | \$ 15.5  |                                      |  |                                |  | 01/28/2009 <sup>(5)</sup> 01/27/2018                     | Common Stock  |

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

MCLAUGHLIN NEAL T  
ONE SW COLUMBIA STREET, SUITE 1200  
PORTLAND, OR 97258

EVP/Treasurer

## Signatures

By: Andrew H. Ognall, Attorney-in-Fact For: Neal T. McLaughlin

12/08/2016

\_\_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) Payment of purchase price by delivering or withholding securities incident to the receipt, exercise or vesting of a security issued in accordance with Rule 16b-3.
- (2) Payment of tax liability by delivering or withholding securities incident to the receipt, exercise or vesting of a security issued in accordance with Rule 16b-3.
- (3) Holdings reported include shares acquired pursuant to a dividend reinvestment plan for this account in transactions that were exempt under Rule 16b-3(c).
- (4) Not required.
- (5) Options are fully vested.

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.