

UMPQUA HOLDINGS CORP
Form 3
January 27, 2009

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â Johnson Kelly J		(Month/Day/Year)	UMPQUA HOLDINGS CORP [UMPQ]	
(Last)	(First)	(Middle)	4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
ONE SW COLUMBIA STREET,			(Check all applicable)	
SUITE 1200			<input type="checkbox"/> Director	<input type="checkbox"/> 10% Owner
(Street)			<input checked="" type="checkbox"/> Officer	<input type="checkbox"/> Other
			(give title below)	(specify below)
PORTLAND,Â ORÂ	97258		EVP/Asset Management Division	6. Individual or Joint/Group Filing(Check Applicable Line)
(City)	(State)	(Zip)		<input checked="" type="checkbox"/> Form filed by One Reporting Person
				<input type="checkbox"/> Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	12,500 ⁽¹⁾	D	Â

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Title			

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	Expiration Date	Amount or Number of Shares	or Indirect (I) (Instr. 5)
Non-Qualified Stock Option (right to buy)	01/12/2010 ⁽²⁾ 01/11/2019	Common Stock 22,000 \$ 10.37	D Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Johnson Kelly J ONE SW COLUMBIA STREET, SUITE 1200 PORTLAND, OR 97258	Â	Â	Â EVP/Asset Management Division	Â

Signatures

By: Steven L. Philpott, Attorney in Fact For: Kelly J Johnson
Date: 01/27/2009

__Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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) Restricted stock grant pursuant to 2003 Stock Incentive Plan.
- (2) Option granted 1/12/09. Beginning on the first anniversary of the grant date, the options vest 20% per year for five years.

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. 94.60

Horizon Asset

Management LLC 12/1/2016

Buy
831
296.72

Horizon Asset

Management LLC 12/1/2016

Sale
682
294.16

Kinetics Asset

Management LLC 12/1/2016

Buy
616
293.39

Kinetics Asset

Management LLC 12/1/2016

Sale
29
294.16

Horizon Asset

Management LLC12/2/2016

Buy

90

295.40

Horizon Asset

Management LLC12/2/2016

Sale

269

295.18

Kinetics Asset

Management LLC12/2/2016

Buy

616

295.19

Kinetics Asset

Management LLC12/2/2016

Sale

29

294.58

Horizon Asset

Management LLC12/5/2016

Buy

169

303.76

Horizon Asset Management LLC	12/5/2016	Sale	59	300.37
Kinetics Asset Management LLC	12/5/2016	Buy	616	301.89
Kinetics Asset Management LLC	12/5/2016	Sale	77	304.38

ITEM 6. CONTRACTS, ARRANGEMENTS, UNDERSTANDINGS OR RELATIONSHIPS WITH RESPECT TO SECURITIES OF THE ISSUER

There are no known contracts, arrangements, understandings or relationships with respect to the Shares of TPL.

ITEM 7. MATERIAL TO BE FILED AS EXHIBITS

Attached as Exhibit 1 is the Joint Filing Agreement applicable to Horizon Kinetics LLC, Horizon Asset Management LLC, Kinetics Asset Management LLC, and Kinetics Advisers, LLC.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: December 7, 2016

/s/ Jay Kesslen

Jay Kesslen
General Counsel & Chief Compliance Officer
Horizon Kinetics LLC

/s/ Jay Kesslen

Jay Kesslen
General Counsel & Chief Compliance Officer
Horizon Asset Management LLC

/s/ Jay Kesslen

Jay Kesslen
General Counsel & Chief Compliance Officer
Kinetics Asset Management LLC

/s/ Jay Kesslen

Jay Kesslen
General Counsel & Chief Compliance Officer
Kinetics Advisers, LLC

Exhibit 1

AGREEMENT OF JOINT FILING

In accordance with Rule 13d-1(k) under the Securities Exchange Act of 1934, as amended, the undersigned hereby confirm the agreement by and among them to the joint filing on behalf of them of the Statement on Schedule 13D and any and all further amendments thereto, with respect to the securities of the above referenced issuer, and that this Agreement be included as an Exhibit to such filing. This Agreement may be executed in any number of counterparts each of which shall be deemed to be an original and all of which together shall be deemed to constitute one and the same Agreement.

IN WITNESS WHEREOF, the undersigned hereby execute this Agreement as of December 7, 2016.

/s/ Jay Kesslen

Jay Kesslen
General Counsel & Chief Compliance Officer
Horizon Kinetics LLC

/s/ Jay Kesslen

Jay Kesslen
General Counsel & Chief Compliance Officer
Horizon Asset Management LLC

/s/ Jay Kesslen

Jay Kesslen
General Counsel & Chief Compliance Officer
Kinetics Asset Management LLC

/s/ Jay Kesslen

Jay Kesslen
General Counsel & Chief Compliance Officer
Kinetics Advisers, LLC
