

KLEIN GERALD J JR  
Form 5  
February 11, 2010

**FORM 5**

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

OMB APPROVAL

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**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 \*  
KLEIN GERALD J JR

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)  
12/31/2009

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
EVP Pres&CEO Mahopac Natl Bank

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 Ownership (Instr. 4)
Common Stock - 401k/esop	12/31/2009	^	L	34 A \$ <sup>(1)</sup> 1,484		D	^
Common Stock	^	^	^	^ ^ ^ ^ 3,135		D	^

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

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SEC 2270 (9-02)

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**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)	\$ 28.36	Â	Â	Â	Â Â	Â <u>(2)</u> 07/24/2011	Common Stock	4,659
Incentive Stock Option (Right to Buy)	\$ 32.23	Â	Â	Â	Â Â	Â <u>(2)</u> 09/30/2012	Common Stock	6,655
Incentive Stock Option (Right to Buy)	\$ 39.34	Â	Â	Â	Â Â	Â <u>(2)</u> 05/03/2014	Common Stock	4,783
Incentive Stock Option (Right to Buy)	\$ 42.39	Â	Â	Â	Â Â	Â <u>(3)</u> 01/23/2016	Common Stock	6,600
Incentive Stock Option (Right to Buy)	\$ 43.51	Â	Â	Â	Â Â	Â <u>(3)</u> 01/18/2017	Common Stock	7,220
Incentive Stock Option (Right to Buy)	\$ 41	Â	Â	Â	Â Â	Â <u>(3)</u> 11/29/2017	Common Stock	1,307
Non-qualified Stock Option (Right to Buy)	\$ 39.34	Â	Â	Â	Â Â	Â <u>(2)</u> 05/03/2014	Common Stock	1,751
Non-qualified Stock Option (Right to Buy)	\$ 43.51	Â	Â	Â	Â Â	Â <u>(3)</u> 01/18/2017	Common Stock	280
Non-qualified Stock Option (Right to Buy)	\$ 41	Â	Â	Â	Â Â	Â <u>(3)</u> 11/29/2017	Common Stock	8,693
Stock Appreciation Rights (SAR)	\$ 45.88	Â	Â	Â	Â Â	Â <u>(4)</u> 09/17/2019	Common Stock	10,000

