Capitol Federal Financial Inc Form 4

August 18, 2014

#### FORM 4

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

OMB 3235-0287 Number:

**OMB APPROVAL** 

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

January 31, Expires: 2005 Estimated average

Form 4 or Form 5 obligations may continue.

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

**SECURITIES** 

burden hours per response... 0.5

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Haag Natalie G.

(First)

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Executive Vice President

Capitol Federal Financial Inc

[CFFN]

08/14/2014

(Month/Day/Year)

(Middle)

3. Date of Earliest Transaction

Director X\_ Officer (give title below)

10% Owner Other (specify

C/O CAPITOL FEDERAL FINANCIAL, 700 KANSAS

**AVENUE** 

(Last)

4. If Amendment, Date Original

Applicable Line)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

**TOPEKA, KS 66601** 

(City) (State) (Zip)

(Street)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if (Month/Day/Year)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

(A)

Transaction(s) (Instr. 3 and 4)

Reported

**CFFN** 

stock

common 08/14/2014 Code V Amount (D) Price 2,000

22,321

D

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

P

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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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. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8 I S (
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
CFFN Incentive Stock Option	\$ 11.85					<u>(1)</u>	09/25/2022	CFFN common stock	33,752	
CFFN Non-qualified Stock Option	\$ 11.85					(2)	09/25/2027	CFFN common stock	14,248	
CFFN Phantom stock 2013	\$ 11.69					<u>(3)</u>	12/31/2015	CFFN common stock	309	
CFFN Phantom stock 2014	\$ 12.11					(3)	12/31/2016	CFFN common stock	2,407	

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

**Executive Vice President** 

Haag Natalie G.

C/O CAPITOL FEDERAL FINANCIAL

700 KANSAS AVENUE

**TOPEKA, KS 66601** 

# **Signatures**

James D. Wempe, Power of

Attorney 08/18/2014

\*\*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).

Reporting Owners 2

#### Edgar Filing: Capitol Federal Financial Inc - Form 4

- (1) 8,438 options vested or will vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.
- (2) 3,562 options vested or will vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.
- (3) Phantom stock units were acquired under the Issuer's Deferred Incentive Bonus Plan and are settled in cash three years from the date of acquisition.

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.