Capitol Federal Financial Inc Form 4

August 15, 2016

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

Expires:

5. Relationship of Reporting Person(s) to

47,541

January 31, 2005

0.5

Estimated average burden hours per

OMB APPROVAL

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

Check this box

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

2. Issuer Name and Ticker or Trading

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

common stock

(Print or Type Responses)

1. Name and Address of Reporting Person *

Jackson Rick C			Symbol Capitol Federal Financial Inc					Issuer (Charle II amiliarla)			
		[CFFN]					(Check all applicable)				
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)			_	Director 10% OwnerX Officer (give title Other (specify				
	FEDERAL AL, 700 SOUTH		08/15/	•			ł	pelow) Executiv	below) e Vice Preside	ent	
	AVENUE, SUITI	E 517									
		Filed(Month/Day/Year) A					6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person				
TOPEKA,	KS 66603						Ī	Form filed by Mo Person	ore than One Re	porting	
(City)	(State)	(Zip)	Tal	ble I - Non-	-Derivative	e Secu	rities Acqui	ired, Disposed of,	or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)		Code (Instr. 3, 4 and 5)				5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
CFFN common stock	08/15/2016			M	51,000	A	\$ 11.91	133,753	D		
CFFN common stock	08/15/2016			S	51,000	D	\$ 14.0908	82,753	D		
CFFN											

ESOP

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

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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 orDerivative 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 Underlying Securiti (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amo or Num of Sh
CFFN Incentive Stock Option	\$ 11.91	08/15/2016		M	16,792	<u>(1)</u>	05/14/2022	CFFN common stock	16,7
CFFN Non-qualified Stock Option	\$ 11.91	08/15/2016		M	16,792	<u>(1)</u>	05/14/2027	CFFN commnon stock	16,7
CFFN Non-qualified Stock Option	\$ 11.91	08/15/2016		M	17,416	<u>(1)</u>	05/14/2027	CFFN common stock	17,4
CFFN phantom stock 2014	\$ 12.11					(2)	12/31/2016	CFFN common stock	2,7
CFFN phantom stock 2015	\$ 12.78					(2)	12/31/2017	CFFN common stock	3,2
CFFN Phantom Stock	\$ 12.56					(2)	12/31/2018	CFFN Phantom Stock	2,9
CFFN Incentive Stock Option	\$ 14.43					<u>(1)</u>	01/26/2020	CFFN common stock	34,0
CFFN Non-qualified Stock Option	\$ 14.43					<u>(1)</u>	01/26/2025	CFFN common stock	55,9

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Jackson Rick C CAPITOL FEDERAL FINANCIAL 700 SOUTH KANSAS AVENUE, SUITE 517 TOPEKA, KS 66603

Executive Vice President

Signatures

James D. Wempe, Power of Attorney

08/15/2016

**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) All options are vested and exercisable.
- (2) Phantom stock units are acquired under the Company's Deferred Incentive Bonus Plan. The units are deemed sold and settled in cash three years from 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.

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