

Capitol Federal Financial Inc  
Form 4  
January 04, 2017

# FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
DICUS JOHN B

2. Issuer Name and Ticker or Trading Symbol  
Capitol Federal Financial Inc  
[CFFN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
12/30/2016

Director  10% Owner  
 Officer (give title below)  Other (specify below)

Chairman and President

C/O CAPITOL FEDERAL FINANCIAL, 700 SOUTH KANSAS AVENUE

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

TOPEKA, KS 66603

(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 Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)			
				(A) or (D)	Price					
				Code	V	Amount				
CFFN common stock	12/30/2016		M		10,495	A	\$ 12.11	1,291,506	D	
CFFN common stock	12/30/2016		D		10,495	D	\$ 16.46	1,281,011	D	
CFFN common stock								80,261	I	ESOP

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CFFN common stock		226	I	Spouse for Child 1
CFFN common stock		226	I	Spouse for Child 2
CFFN common stock		226	I	Spouse for Child 3
CFFN common stock		6,723	I	By custodian for child 1
CFFN common stock		6,791	I	Custodian for Child 2
CFFN common stock		6,791	I	Custodian for Child 3

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

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(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 Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Underlying (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
CFFN phantom stock 2014	\$ 12.11	12/30/2016		M	10,495	12/31/2016 <sup>(1)</sup>	12/31/2016	CFFN common stock
CFFN Phantom Stock	\$ 16.46	12/30/2016		A	9,113	12/31/2019 <sup>(1)</sup>	12/31/2019	CFFN Phantom Stock
CFFN phantom stock 2015	\$ 12.78					12/31/2017 <sup>(1)</sup>	12/31/2017	CFFN common stock
	\$ 12.56					12/31/2018 <sup>(1)</sup>	12/31/2018	

CFFN Phantom Stock					CFFN Phantom Stock
CFFN Incentive Stock Option	\$ 11.91	(2)	05/14/2022		CFFN common stock
CFFN Non-qualified Stock Option	\$ 11.91	(2)	05/14/2022		CFFN common stock

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
DICUS JOHN B C/O CAPITOL FEDERAL FINANCIAL 700 SOUTH KANSAS AVENUE TOPEKA, KS 66603	X		Chairman and President	

## Signatures

James D. Wempe, Power of Attorney  
01/04/2017

\*\*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) 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.
- (2) All options are 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.