

Capitol Federal Financial Inc  
 Form 4  
 January 04, 2017

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

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

Edgar Filing: Capitol Federal Financial Inc - Form 4

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.

**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.**

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 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	

