

DICUS JOHN B
Form 4
January 08, 2019

FORM 4

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

OMB APPROVAL

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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)
01/02/2019

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 phantom stock 2015 | 01/02/2019 | | M | 11,427 | A | \$ 12.56 | 1,292,438 | D | |
| CFFN phantom stock 2015 | 01/02/2019 | | D | 11,427 | D | \$ 12.77 | 1,281,011 | D | |
| CFFN common stock | | | | | | | 83,244 | 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 Sec (Instr. 3 and 4) | |
|---|--|---|---|--------------------------------------|--|--|--|-------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title |
| CFFN phantom stock 2015 | \$ 12.56 | | | | | 12/31/2018 ⁽¹⁾ | 12/31/2018 | CFFN common stock |
| CFFN Phantom Stock 2016 | \$ 16.46 | | | | | 12/31/2019 ⁽¹⁾ | 12/31/2019 | CFFN common stock |
| CFFN Phantom Stock 2017 | \$ 13.41 | | | | | 01/02/2021 ⁽¹⁾ | 01/02/2021 | CFFN common stock |

| | | | | | | | |
|---------------------------------|----------|------------|---|--------|------------|------------|-------------------|
| CFFN Phantom Stock 2018 | \$ 12.77 | 01/02/2019 | A | 11,746 | 01/02/2022 | 01/02/2022 | CFFN common stock |
| CFFN Incentive Stock Option | \$ 11.91 | | | | (2) | 05/14/2022 | CFFN common stock |
| CFFN Non-qualified Stock Option | \$ 11.91 | | | | (2) | 05/14/2027 | 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

Cara J Puglisi, Power of Attorney
01/07/2019

**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.