

Capitol Federal Financial Inc  
Form 4  
January 05, 2016

# 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

(Last) (First) (Middle)

C/O CAPITOL FEDERAL FINANCIAL, 700 SOUTH KANSAS AVENUE

(Street)

TOPEKA, KS 66603

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)  
12/31/2015

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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

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

**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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
CFFN common stock	12/31/2015		M		12,831	A (1)	\$ 11.69
CFFN common stock	12/31/2015		D		12,831	D (1)	\$ 12.56
CFFN common stock					226	I	Spouse for Child 1

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CFFN common stock	6,791	I	Custodian for Child 2
CFFN common stock	78,800	I	ESOP
CFFN common stock	6,791	I	Custodian for Child 3
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

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.**

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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. 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 2013	\$ 11.69	12/31/2015		M	12,831	12/31/2015 <sup>(1)</sup>	12/31/2015	CFFN common stock
CFFN Phantom Stock	\$ 12.56	12/31/2015		A	11,427	12/31/2018 <sup>(1)</sup>	12/31/2018	CFFN Phantom Stock
CFFN Incentive Stock Option	\$ 11.91					<sup>(2)</sup>	05/14/2022	CFFN common stock
	\$ 11.91					<sup>(3)</sup>	05/14/2027	

