

Capitol Federal Financial Inc
Form 4
January 03, 2014

FORM 4

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

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

OMB APPROVAL

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(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)
12/31/2013

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	12/31/2013		M		12,594	A	\$ 11.91 (1)
CFFN common stock	12/31/2013		D		12,594	D	\$ 12.11 (1)
CFFN common stock							75,536
							I ESOP

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CFFN common stock	6,723	I	Custodian for Child 1
CFFN common stock	6,791	I	Custodian for Child 2
CFFN common stock	6,791	I	Custodian for Child 3
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

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 s (Instr. 3 and
				Code V (A) (D)	Date Exercisable	Expiration Date	Title
CFFN phantom stock 2011	\$ 11.91	12/31/2013		M	12,594 (2)	12/31/2013 12/31/2013	CFFN common stock
CFFN phantom stock 2012	\$ 11.54					12/31/2014 12/31/2014	CFFN common stock
CFFN phantom stock 2013	\$ 11.69					12/31/2015 12/31/2015	CFFN common stock
	\$ 12.11	12/31/2013		A	10,495	12/31/2016 12/31/2016	

CFFN
phantom stock
2014

CFFN
common
stock

CFFN
Incentive \$ 11.91
Stock Option

(3)

05/14/2022

CFFN
common
stock

CFFN
Non-qualified \$ 11.91
Stock Option

(4)

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

James D. Wempe, Power of
Attorney

01/03/2014

__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).

Transaction reflects the deemed conversion of phantom stock units previously acquired under the Issuer's Deferred Incentive Bonus Plan
(1) into the underlying shares of common stock and the deemed simultaneous disposition of such shares in connection with the cash settlement of such phantom stock units.

(2) The phantom stock units were acquired under the Issuer's Deferred Incentive Bonus Plan and are settled in cash three years from the date of acquisition.

(3) 8,396 options vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.

(4) 25,029 options vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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