

Capitol Federal Financial Inc  
 Form 4  
 January 11, 2016

**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)  
**01/11/2016**

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 Indirect Beneficial Ownership (Instr. 4)		
				(A) or (D)	Price				
				Code	V	Amount			
CFFN common stock	01/11/2016		F	3,533	D	\$ 11.9364	1,281,011	D	
CFFN common stock							226	I	Spouse for Child 1
CFFN common stock							6,791	I	Custodian for Child 2

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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.

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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 Amount of Underlying Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
CFFN Phantom Stock	\$ 12.56					12/31/2018 <sup>(1)</sup>	12/31/2018	CFFN Phantom Stock	11,42
CFFN Incentive Stock Option	\$ 11.91					<sup>(2)</sup>	05/14/2022	CFFN common stock	33,58
CFFN Non-qualified Stock Option	\$ 11.91					<sup>(3)</sup>	05/14/2027	CFFN common stock	100,1

CFFN phantom stock \$ 12.78 2015	12/31/2017 <sup>(1)</sup>	12/31/2017	CFFN common stock	11,73
CFFN phantom stock \$ 12.11 2014	12/31/2016 <sup>(1)</sup>	12/31/2016	CFFN common stock	10,49

## 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

01/11/2016

\*\*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) 8,396 options vested on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.
- (3) 25,029 options vested 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. 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.