

Capitol Federal Financial Inc  
 Form 4  
 January 02, 2014

**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 \*  
 Jackson Rick C

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)  
 12/31/2013

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
 Executive Vice President

CAPITOL FEDERAL FINANCIAL, 700 SOUTH KANSAS AVENUE, SUITE 517  
 (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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                             |
| CFFN common stock               | 12/31/2013                           |  | M                              |   | 2,542   | A  | \$ 11.91<br><u>(1)</u>            |
| CFFN common stock               | 12/31/2013                           |  | D                              |   | 2,542   | D  | \$ 12.11<br><u>(1)</u>            |
| CFFN common stock               |                                      |  |                                |   |   |  | 39,095                            |
|                                 |                                      |  |                                |   |   | I  | ESOP                              |

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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 Security (Instr. 3 and 4) |                   |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title             |
| CFFN phantom stock 2011                    | \$ 11.91   | 12/31/2013                           |  | M                              | 2,542<br>(1)  | 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 |
| CFFN phantom stock 2014                    | \$ 12.11   | 12/31/2013                           |  | A                              | 2,752   | 12/31/2016   | 12/31/2016  | CFFN common stock |
| CFFN Incentive Stock Option                | \$ 11.91   |                                      |  |                                |   | (3)  | 05/14/2022  | CFFN common stock |
| CFFN Non-qualified Stock Option            | \$ 11.91   |                                      |  |                                |   | (4)  | 05/14/2027  | CFFN common stock |
| CFFN Incentive Stock Option                | \$ 14.43   |                                      |  |                                |   | (5)  | 01/26/2020  | CFFN common stock |
| CFFN Non-qualified Stock Option            | \$ 14.43   |                                      |  |                                |   | (5)  | 01/26/2025  | CFFN common stock |

