

Capitol Federal Financial Inc  
 Form 4  
 January 03, 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 \*  
 Ricketts Carlton A.

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

C/O CAPITOL FEDERAL FINANCIAL, 700 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 66601

(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 common stock               | 12/31/2013                           |  | M                              | 1,261   | A 11.91<br><u>(1)</u>   | 48,918   | D                                 |
| CFFN common stock               | 12/31/2013                           |  | D                              | 1,261   | D 12.11<br><u>(1)</u>   | 47,657   | D                                 |
| CFFN common stock               |                                      |  |                                |   |   | 26,257   | 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 Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable Expiration Date                         | Title   |
| CFFN phantom stock 2011                    | \$ 11.91   | 12/31/2013                           |  | M                              | 1,261<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                              | 2,532   | 12/31/2016 12/31/2016                                    | CFFN common stock   |
| CFFN Incentive Stock Option                | \$ 14.19   |                                      |  |                                |   | (2) 10/19/2017   | 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   |

## Reporting Owners

| Reporting Owner Name / Address | Relationships |           |                          |       |
|--------------------------------|---------------|-----------|--------------------------|-------|
|                                | Director      | 10% Owner | Officer                  | Other |
|                                |               |           | Executive Vice President |       |

Ricketts Carlton A.  
C/O CAPITOL FEDERAL FINANCIAL  
700 KANSAS AVENUE  
TOPEKA, KS 66601

## 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) All options are exercisable.

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

(4) 4,354 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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