Capitol Federal Financial Inc Form 4

February 03, 2015

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB

**OMB APPROVAL** 

Number:

3235-0287

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obligations

Check this box

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

may continue. See Instruction

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* Morris James G.

2. Issuer Name and Ticker or Trading Symbol

Capitol Federal Financial Inc

[CFFN]

(Middle)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

C/O CAPITOL FEDERAL

FINANCIAL, INC., 700 KANSAS **AVENUE** 

(First)

(Street)

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

4. If Amendment, Date Original

02/02/2015

Filed(Month/Day/Year)

X\_ Director 10% Owner Officer (give title Other (specify

6. Individual or Joint/Group Filing(Check

Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

**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 2A. Deemed (Month/Day/Year) Execution Date, if

(Month/Day/Year)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

Reported

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

(A)

Code V Amount (D) Price

(Instr. 3 and 4)

Transaction(s)

**CFFN** 

common 02/02/2015 stock

P 3.000

17,790

D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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. Transacti Code (Instr. 8)	5. orNumber of Derivativ Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6		7. Title and of Underlying Securities (Instr. 3 and	ng l
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
CFFN non-qualified stock option	\$ 12.04					<u>(1)</u>	11/25/2028	CFFN common stock	15,000

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Morris James G.

C/O CAPITOL FEDERAL FINANCIAL, INC.
700 KANSAS AVENUE

TOPEKA, KS 66603

# **Signatures**

James D. Wempe, Power of Attorney

orney 02/03/2015

\*\*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) 3,750 options vested or will vest on January 10, 2014, January 10, 2015, January 10, 2016 and January 10, 2017.

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.

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