Capitol Federal Financial Inc

Form 4

January 05, 2016

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

2. Issuer Name and Ticker or Trading

Capitol Federal Financial Inc

OMB 3235-0287 Number:

**OMB APPROVAL** 

Expires:

5. Relationship of Reporting Person(s) to

Issuer

January 31, 2005

0.5

Estimated average burden hours per

response...

if no longer subject to Section 16. Form 4 or Form 5 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

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

Symbol

1(b).

Jackson Rick C

(Print or Type Responses)

1. Name and Address of Reporting Person \*

			[CFFN]					(Check all applicable)			
	(First) FEDERAL L, 700 SOUTI AVENUE, SUI			f Earliest Tr Day/Year) 2015	ransaction			DirectorX Officer (giv below)  Execut		Owner er (specify ent	
	(Street)		4. If Ame	endment, Da	te Origina	ıl		6. Individual or J	oint/Group Filir	ng(Check	
TOPEKA, KS 66603				Month/Day/Year)				Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person			
(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 any (Month/Day/Year)			4. Securi on(A) or D (Instr. 3,	ispose 4 and (A) or	d of (D)	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)	
CFFN common stock	12/31/2015			M	4,028	A	\$ 11.69	86,781	D		
CFFN common stock	12/31/2015			D	4,028	D	\$ 12.56	82,753	D		
CFFN common stock								46,386	I	ESOP	

#### Edgar Filing: Capitol Federal Financial Inc - Form 4

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(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. 5. Number of TransactionDerivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and A Underlying S (Instr. 3 and
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title
CFFN phantom stock 2013	\$ 11.69	12/31/2015		M		4,028	12/31/2015	12/31/2015	CFFN common stock
CFFN Phantom Stock	\$ 12.56	12/31/2015		A	2,979		12/31/2018(1)	12/31/2018	CFFN Phantom Stock
CFFN Non-qualified Stock Option	\$ 14.43						<u>(2)</u>	01/26/2025	CFFN common stock
CFFN Non-qualified Stock Option	\$ 11.91						<u>(3)</u>	05/14/2027	CFFN common stock
CFFN Incentive Stock Option	\$ 11.91						<u>(4)</u>	05/14/2022	CFFN common stock
CFFN Incentive Stock Option	\$ 14.43						(2)	01/26/2020	CFFN common stock
CFFN phantom stock 2014	\$ 12.11						12/31/2016(1)	12/31/2016	CFFN common stock
CFFN phantom stock 2015	\$ 12.78						12/31/2017(1)	12/31/2017	CFFN common stock

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Jackson Rick C CAPITOL FEDERAL FINANCIAL 700 SOUTH KANSAS AVENUE, SUITE 517 TOPEKA, KS 66603

**Executive Vice President** 

### **Signatures**

James D. Wempe, Power of Attorney

01/05/2016

\*\*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) Options are exercisable.
- (3) 4,354 options vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.
- (4) 8,396 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. 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.

Reporting Owners 3