

Capitol Federal Financial Inc  
 Form 4  
 August 15, 2016

**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)  
 08/15/2016

\_\_\_\_ 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount or Price		
CFFN common stock	08/15/2016		M		51,000 A \$ 11.91	133,753	D
CFFN common stock	08/15/2016		S		51,000 D \$ 14.0908	82,753	D
CFFN common stock						47,541	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)	Amount or Number of Shares
CFFN Incentive Stock Option	\$ 11.91	08/15/2016		M	16,792	<u>(1)</u> 05/14/2022	CFFN common stock	16,792
CFFN Non-qualified Stock Option	\$ 11.91	08/15/2016		M	16,792	<u>(1)</u> 05/14/2027	CFFN common stock	16,792
CFFN Non-qualified Stock Option	\$ 11.91	08/15/2016		M	17,416	<u>(1)</u> 05/14/2027	CFFN common stock	17,416
CFFN phantom stock 2014	\$ 12.11					<u>(2)</u> 12/31/2016	CFFN common stock	2,700
CFFN phantom stock 2015	\$ 12.78					<u>(2)</u> 12/31/2017	CFFN common stock	3,200
CFFN Phantom Stock	\$ 12.56					<u>(2)</u> 12/31/2018	CFFN Phantom Stock	2,900
CFFN Incentive Stock Option	\$ 14.43					<u>(1)</u> 01/26/2020	CFFN common stock	34,000
CFFN Non-qualified Stock Option	\$ 14.43					<u>(1)</u> 01/26/2025	CFFN common stock	55,000

