

Capitol Federal Financial Inc
 Form 4
 February 03, 2017

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 *
 Lehman Daniel L.

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)
 700 SOUTH KANSAS AVENUE
 (Street)

3. Date of Earliest Transaction (Month/Day/Year)
 02/01/2017

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
 Executive Vice President

TOPEKA, KS 66603

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

(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	(A) or (D)	Price			
CFFN common stock	02/02/2017		M		300	A	\$ 11.91	17,763	D	
CFFN common stock	02/01/2017		S		300	D	\$ 15.4567	17,463	D	
CFFN common stock	02/03/2017		M		14,700	A	\$ 11.91	32,163	D	
CFFN common	02/02/2017		S		14,700	D	\$ 15.25	17,463	D	

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stock

CFFN

common

stock

33,522

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ESOP

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)	Am or Nur of Sha
				Code V (A) (D)		Date Exercisable Expiration Date	Title	
CFFN Incentive Stock Option	\$ 11.91	02/02/2017		M	300	<u>(1)</u> 05/14/2022	CFFN common stock	3
CFFN Incentive Stock Option	\$ 11.91	02/03/2017		M	8,284	<u>(1)</u> 05/14/2022	CFFN common stock	8,
CFFN Non-qualified Stock Option	\$ 11.91	02/03/2017		M	6,416	<u>(1)</u> 05/14/2027	CFFN common stock	6,
CFFN phantom stock 2014	\$ 12.78					12/31/2017 ⁽²⁾ 12/31/2017	CFFN common stock	1,
CFFN phantom stock 2015	\$ 12.56					12/31/2018 ⁽²⁾ 12/31/2018	CFFN common stock	1,
CFFN Phantom Stock	\$ 16.46					12/31/2019 ⁽²⁾ 12/31/2019	CFFN common stock	9

