

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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 Expires: January 31, 2005  
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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 or 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

I

ESOP

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

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SEC 1474  
(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 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 <sup>(2)</sup> 12/31/2017	CFFN common stock 1,
CFFN phantom stock 2015	\$ 12.56					12/31/2018 <sup>(2)</sup> 12/31/2018	CFFN common stock 1,
CFFN Phantom Stock	\$ 16.46					12/31/2019 <sup>(2)</sup> 12/31/2019	CFFN common stock 9

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lehman Daniel L. 700 SOUTH KANSAS AVENUE TOPEKA, KS 66603			Executive Vice President	

## Signatures

James D. Wempe, Power of  
Attorney

02/03/2017

\_\_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) All options were vested.
  - (2) 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.

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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