Capitol Federal Financial Inc Form 4

May 01, 2015

## FORM 4

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

Check this box

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

obligations may continue. See Instruction 1(b).

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)

(Last)

1. Name and Address of Reporting Person \* Wright Frank H

(First) (Middle)

C/O CAPITOL FEDERAL

FINANCIAL, INC., 700 S. KANSAS AVENUE

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

2. Issuer Name and Ticker or Trading

Symbol

Capitol Federal Financial Inc [CFFN]

3. Date of Earliest Transaction

(Month/Day/Year)

04/30/2015

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

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

below) Executive Vice President

6. Individual or Joint/Group Filing(Check

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

**TOPEKA, KS 66603** 

(City) (State) (Zip) 1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year)

3. Execution Date, if (Month/Day/Year)

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

5. Amount of Securities Beneficially Owned Following Reported

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

Indirect Beneficial Ownership (Instr. 4)

Transaction(s) (Instr. 3 and 4)

(D) Price Code V Amount

(A)

**CFFN** 

**CFFN** 

common stock

(Instr. 3)

common 04/30/2015 stock

F

309

D \$ 12 11,880 D

Ι

**ESOP** 

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form

47,832

SEC 1474 (9-02)

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

## displays a currently valid OMB control number.

# 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. Transactic Code (Instr. 8)	5. Dr.Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Title and of Underlyin Securities (Instr. 3 and	ng	{
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
CFFN non-qualified stock option	\$ 13.1					<u>(1)</u>	10/29/2028	CFFN common stock	9,000	
CFFN incentive stock option	\$ 13.1					(2)	10/29/2023	CFFN common stock	3,000	
CFFN incentive stock option	\$ 11.91					<u>(3)</u>	05/14/2022	CFFN common stock	35,584	
CFFN non-qualified stock option	\$ 11.91					<u>(4)</u>	05/14/2027	CFFN common stock	6,416	
CFFN phantom stock	\$ 11.69					<u>(5)</u>	12/31/2015	CFFN common stock	2,635	

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		

Wright Frank H C/O CAPITOL FEDERAL FINANCIAL, INC. 700 S. KANSAS AVENUE TOPEKA, KS 66603

**Executive Vice President** 

Reporting Owners 2

## **Signatures**

James D. Wempe, Power of Attorney

05/01/2015

\*\*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) 3,000 options vested or will vest on April 29, 2014, April 29, 2015 and April 29, 2015.
- (2) 3,000 options will vest on April 29, 2017.
- (3) 8,396 options vested or will vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.
- (4) 1,604 options vested or will vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.
- (5) 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. 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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