

Capitol Federal Financial Inc  
 Form 4  
 February 08, 2017

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

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 \*  
**TOWNSEND KENT G**

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)  
**02/06/2017**

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
**Executive Vice President**

**C/O CAPITOL FEDERAL FINANCIAL, INC., 700 SOUTH KANSAS AVENUE**

(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	(A) or (D)	Price
CFFN common stock	02/06/2017		M		90,000	A	\$ 11.91
					216,082		
CFFN common stock	02/06/2017		M		13,804	A	\$ 14.96
					229,886		
CFFN common stock	02/06/2017		S		85,815	D	\$ 15.1643
					144,071		

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CFFN common stock	02/07/2017	S	12,040	D	\$ 15.1652	132,031	D	
CFFN common stock	02/08/2017	S	5,949	D	\$ 15.0617	126,082	D	
CFFN common stock						71,484	I	ESOP

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

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**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 Underlying Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
CFFN Incentive Stock Option	\$ 11.91	02/06/2017		M	15,595	(1) 05/14/2022	CFFN common stock	
CFFN Non-qualified Stock Option	\$ 11.91	02/06/2017		M	56,416	(1) 05/14/2027	CFFN common stock	
CFFN Non-qualified Stock Option	\$ 14.96	02/06/2017		M	13,804	(1) 08/23/2020	CFFN common stock	
CFFN Incentive Stock Option	\$ 11.91	02/07/2017		M	12,040	(1) 05/14/2022	CFFN common stock	
CFFN Incentive Stock Option	\$ 11.91	02/08/2017		M	5,949	(1) 05/14/2022	CFFN common stock	
CFFN phantom stock	\$ 12.11					12/31/2016(2) 12/31/2016	CFFN common	

2014					stock
CFFN					CFFN
phantom stock	\$ 12.78		12/31/2017 <sup>(2)</sup>	12/31/2017	common
2015					stock
CFFN					CFFN
Phantom	\$ 12.56		12/31/2018 <sup>(2)</sup>	12/31/2018	Phantom
Stock					Stock

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TOWNSEND KENT G C/O CAPITOL FEDERAL FINANCIAL, INC. 700 SOUTH KANSAS AVENUE TOPEKA, KS 66603			Executive Vice President	

## Signatures

James D. Wempe, Power of Attorney  
Date: 02/08/2017

\_\_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. 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.