

DICUS JOHN B  
Form 4  
May 18, 2012

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
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 \*  
DICUS JOHN B

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)  
05/16/2012

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Chairman and President

C/O CAPITOL FEDERAL FINANCIAL, 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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| CFFN common stock               | 05/16/2012                           |  | A                              | 44,600  | A 1,294,361   | D  |                                   |
| CFFN common stock               |                                      |  |                                |   | 63,490  | I  | ESOP                              |
| CFFN common stock               |                                      |  |                                |   | 6,723   | I  | Custodian for Child 1             |

Edgar Filing: DICUS JOHN B - Form 4

|                         |       |   |                          |
|-------------------------|-------|---|--------------------------|
| CFFN<br>common<br>stock | 6,791 | I | Custodian<br>for Child 2 |
| CFFN<br>common<br>stock | 6,791 | I | Custodian<br>for Child 3 |
| CFFN<br>common<br>stock | 226   | I | Spouse for<br>Child 1    |
| CFFN<br>common<br>stock | 226   | I | Spouse for<br>Child 2    |
| CFFN<br>common<br>stock | 226   | I | Spouse for<br>Child 3    |

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 displays a currently valid OMB control number.**

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 Security (Instr. 3 and 4) |                   |         |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------|---------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title             | Amount  |
| CFFN Incentive Stock Option May, 2012      | \$ 11.91   | 05/16/2012                           |  | A                              | 33,584  | (2)  | 05/14/2022  | CFFN common stock | 33,584  |
| CFFN Non-qualified Stock Option May, 2012  | \$ 11.91   | 05/16/2012                           |  | A                              | 100,116   | (3)  | 05/14/2027  | CFFN common stock | 100,116 |
| CFFN Phantom Stock 2010                    | \$ 13.9  |                                      |  |                                |   | (4)  | 12/31/2012  | CFFN common stock | 6,400   |
| CFFN                                       | \$ 11.91   |                                      |  |                                |   | (4)  | 12/31/2013  | CFFN              | 12,000  |

Phantom  
Stock 2011

common  
stock

CFFN  
Phantom \$ 11.54  
Stock 2012

(4) 12/31/2014 CFFN  
common 12,  
stock

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                        |       |
|--|---------------|-----------|------------------------|-------|
|  | Director      | 10% Owner | Officer                | Other |
| DICUS JOHN B<br>C/O CAPITOL FEDERAL FINANCIAL<br>700 SOUTH KANSAS AVENUE<br>TOPEKA, KS 66603 | X             |           | Chairman and President |       |

## Signatures

James D. Wempe, Power of  
Attorney 05/18/2012

        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) Restricted stock award.
- (2) 8,396 options will vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.
- (3) 25,029 options will vest on January 10, 2013, January 10, 2014, January 10, 2015 and January 10, 2016.
- (4) Phantom stock units are acquired under the Company's Deferred Incentive Bonus Plan. The units are deemed sold and settled in cash approximately three years from the 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.