

DICUS JOHN B  
Form 4/A  
January 08, 2019

**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 \*  
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)  
01/02/2019

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)  
01/08/2019

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) |           |   |      |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|-----------|---|------|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |                                   |           |   |      |
|                                 |                                      |  |                                | Code  | V   | Amount   |                                   |           |   |      |
| CFFN phantom stock 2015         | 01/02/2019                           |  | M                              |   | 11,427  | A  | \$ 12.56                          | 1,292,438 | D |      |
| CFFN phantom stock 2015         | 01/02/2019                           |  | D                              |   | 11,427  | D  | \$ 12.77                          | 1,281,011 | D |      |
| CFFN common stock               |                                      |  |                                |   |   |  |                                   | 83,244    | I | ESOP |

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|                         |       |   |                                |
|-------------------------|-------|---|--------------------------------|
| 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          |
| CFFN<br>common<br>stock | 6,723 | I | By<br>custodian<br>for child 1 |
| 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       |

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.**

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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<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and An<br>Underlying Sec<br>(Instr. 3 and 4) |                         |
|---|--|---|---|--------------------------------------|--|--|---|-------------------------|
|   |  |   |   | Code                                 | V (A) (D)  | Date Exercisable   | Expiration<br>Date                                    | Title                   |
| CFFN<br>Phantom<br>Stock 2016                       | \$ 16.46   |   |   |                                      |  | 12/31/2019 <sup>(1)</sup>                                      | 12/31/2019  | CFFN<br>common<br>stock |
| CFFN<br>Phantom<br>Stock 2017                       | \$ 13.41   |   |   |                                      |  | 01/02/2021 <sup>(1)</sup>                                      | 01/02/2021  | CFFN<br>common<br>stock |
| CFFN<br>Phantom<br>Stock 2018                       | \$ 12.77   | 01/02/2019                              |   | A                                    | 11,746   | 01/02/2022 <sup>(1)</sup>                                      | 01/02/2022  | CFFN<br>common<br>stock |

