

CAPITAL ONE FINANCIAL CORP

Form 4

February 17, 2017

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... 0.5Check 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 *
Alexander Robert M.2. Issuer Name **and** Ticker or Trading
Symbol
CAPITAL ONE FINANCIAL CORP
[COF]5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

1680 CAPITAL ONE DRIVE

(Street)

MCLEAN, VA 22102

(City) (State) (Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
02/15/20174. If Amendment, Date Original
Filed(Month/Day/Year)☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify
below)

Chief Information Officer

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person**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)
Common Stock	02/15/2017		M	3,607 A	\$ 0 ⁽¹⁾ 111,497	D	
Common Stock	02/15/2017		M	3,334 A	\$ 0 ⁽¹⁾ 114,831	D	
Common Stock	02/15/2017		M	2,894 A	\$ 0 ⁽¹⁾ 117,725	D	
Common Stock	02/15/2017		M	9,729 A	\$ 0 ⁽²⁾ 127,454	D	
Common Stock	02/15/2017		D	3,607 D	\$ 88.31 ⁽¹⁾ 123,847	D	

Edgar Filing: CAPITAL ONE FINANCIAL CORP - Form 4

Common Stock	02/15/2017	D	3,334	D	\$ <u>(1)</u> 88.31	120,513	D
Common Stock	02/15/2017	D	2,894	D	\$ <u>(1)</u> 88.31	117,619	D
Common Stock	02/15/2017	D	9,729	D	\$ <u>(2)</u> 88.31	107,890	D
Common Stock	02/15/2017	F ⁽³⁾	1,374	D	\$ 90.93	106,516	D
Common Stock	02/15/2017	F ⁽⁴⁾	1,365	D	\$ 90.93	105,151	D
Common Stock	02/15/2017	F ⁽⁵⁾	2,260	D	\$ 90.93	102,891	D
Common Stock						2	I
Common Stock						100	I

Robert M.
Alexander
UGMA

The
Alexander
Fund

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)
						Date Exercisable Expiration Date	Title
				Code V (A) (D)			
2014 Restricted Stock	\$ 0 ⁽¹⁾	02/15/2017		M	3,607	⁽⁶⁾ ⁽⁶⁾	Common Stock

Amc
or
Num
of
Shar

