SEC Form 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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Check this box if no longer subject to	
Section 16. Form 4 or Form 5	
obligations may continue. See	
Instruction 1(b).	

FORM 4

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person [*] <u>FINNERAN JOHN G JR</u>			2. Issuer Name and Ticker or Trading Symbol <u>CAPITAL ONE FINANCIAL CORP</u> [COF]	(Check	tionship of Reporting Persc all applicable) Director Officer (give title	on(s) to Issuer 10% Owner Other (specify				
(Last) (First) (Middle) 1680 CAPITAL ONE DRIVE		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/22/2019	Х	below) Senior Advisor and	below)				
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)						
MCLEAN	VA	22102		X	Form filed by One Repor	rting Person				
(City)	(State)	(Zip)			Form filed by More than Person	One Reporting				
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. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			Securities Beneficially		7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1130.4)
Common Stock ⁽¹⁾	11/22/2019		S		3,607	D	\$98.02 ⁽²⁾	91,792	D	

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transa Code (of Expiration Date Derivative (Month/Day/Year)			7. Title Amoun Securit	t of ies	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial	
(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	8)		Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)				Underlying Derivative Security (Instr. 3 and 4)				Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Expiration Exercisable Date		Title	Amount or Number of Shares				

Explanation of Responses:

1. This transaction was executed pursuant to a trading plan entered into by the reporting person on May 10, 2019, in accordance with Rule 10b5-1 of the Securities Exchange Act of 1934, as amended. 2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$98.00 to \$98.07. Information regarding the number of shares sold at each price will be provided upon request.

Remarks:

Cleo Belmonte (POA on file) 11/26/2019

** Signature of Reporting Person

Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.