SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

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

OMB APPROVAL

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1. Name and Address of Reporting Person* Schneider Ryan M. (Last) (First) (Middle) 1680 CAPITAL ONE DRIVE		 2. Issuer Name and Ticker or Trading Symbol <u>CAPITAL ONE FINANCIAL CORP</u> [COF] 3. Date of Earliest Transaction (Month/Day/Year) 05/29/2015		tionship of Reporting Person(s) to Issuer : all applicable) Director 10% Owner Officer (give title Other (specify below) below) President, Card		
(Street) MCLEAN VA 22102 (City) (State) (Zip)		 4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	dual or Joint/Group Filing (Form filed by One Report Form filed by More than 0 Person	ting 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. Transa Code (8)				(A) or 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		(11150.4)
Common Stock ⁽¹⁾	05/29/2015		М		48,678	A	\$45.75	257,893 ⁽²⁾	D	
Common Stock ⁽¹⁾	05/29/2015		М		37,700	A	\$48.95	295,593	D	
Common Stock ⁽¹⁾	05/29/2015		S		900	D	\$84.46(3)	294,693	D	
Common Stock ⁽¹⁾	05/29/2015		S		1,500	D	\$84.49 ⁽³⁾	293,193	D	
Common Stock ⁽¹⁾	05/29/2015		S		2,100	D	\$84.48(4)	291,093	D	
Common Stock ⁽¹⁾	05/29/2015		S		36,800	D	\$83.9 ⁽⁵⁾	254,293	D	
Common Stock ⁽¹⁾	05/29/2015		S		42,406	D	\$83.73(6)	211,887	D	
Common Stock ⁽¹⁾	05/29/2015		S		56,408	D	\$83.73(7)	155,479	D	
Common Stock ⁽¹⁾	06/01/2015		М		4,300	A	\$48.95	159,779	D	
Common Stock ⁽¹⁾	06/01/2015		S		4,300	D	\$84	155,479	D	

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. Transa Code (8)				6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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 Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Options ⁽¹⁾	\$45.75	05/29/2015		М			48,678	(8)	01/30/2022	Common Stock	48,678	\$0.0000	0.0000	D	
Stock Options ⁽¹⁾	\$48.95	05/29/2015		М			37,700	(9)	02/20/2018	Common Stock	37,700	\$0.0000	26,000	D	
Stock Options ⁽¹⁾	\$48.95	06/01/2015		М			4,300	(9)	02/20/2018	Common Stock	4,300	\$0.0000	21,700	D	

Explanation of Responses:

1. This transaction was executed pursuant to a trading plan entered into by the reporting person on April 30, 2015, in accordance with Rule 10b5-1 of the Securities Exchange Act of 1934, as amended.

2. Includes shares acquired by the reporting person through the Company's Associate Stock Purchase Plan since the last reported transaction.

3. These shares were sold at prices ranging from \$84.33 to \$84.51. Information regarding the number of shares sold at each price will be provided upon request.

4. These shares were sold at prices ranging from \$84.36 to \$84.51. Information regarding the number of shares sold at each price will be provided upon request.

5. These shares were sold at prices ranging from \$83.33 to \$84.29. Information regarding the number of shares sold at each price will be provided upon request.

6. These shares were sold at prices ranging from \$83.33 to \$84.30. Information regarding the number of shares sold at each price will be provided upon request.

7. These shares were sold at prices ranging from \$83.33 to \$84.24. Information regarding the number of shares sold at each price will be provided upon request.

8. The option became exercisable in 1/3 increments beginning on February 10, 2013.

9. The option became exercisable in 1/3 increments beginning on February 21, 2009.

<u>Gregory W. Seward (POA on</u> <u>file)</u>

06/02/2015

Date

** Signature of Reporting Person

 * 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.

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