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 OMB Number: 3235-028

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hours per response:	0.5

1. Name and Address of Reporting Person [*] Alexander Robert M.			2. Issuer Name and Ticker or Trading Symbol <u>CAPITAL ONE FINANCIAL CORP</u> [COF]		tionship of Reporting Person(s) to Issuer : all applicable) Director 10% Owner Officer (give title Other (specify below) below)					
(Last) (First) (Middle) 1680 CAPITAL ONE DRIVE		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 07/05/2013		Chief Information Officer					
(Street) MCLEAN	VA	22102	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	ividual or Joint/Group Filing (Check Applicable Form filed by One Reporting Person Form filed by More than One Reporting Person					
(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)					5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock ⁽¹⁾	07/05/2013		М		10,000	A	\$18.28	111,541	D	
Common Stock ⁽¹⁾	07/05/2013		S		10,000	D	\$64.74	101,541	D	
Common Stock ⁽¹⁾	07/08/2013		S		4,000	D	\$66.14	97,541	D	
Common Stock								2	I	Robert M. Alexander UGMA
Common Stock								100	I	The Alexander Fund

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and Amount 9. Number of 11. Nature 2. Conversion 8. Price of 10. Derivative Execution Date, Transaction Ownership Date of Expiration Date of Securities Derivative derivative of Indirect Security (Instr. 3) or Exercise Price of if any (Month/Day/Year) Underlying Derivative Security Security (Instr. 5) Form: Direct (D) (Month/Day/Year) Code (Instr. Derivative (Month/Day/Year) Securitie Beneficial 8) Beneficially Ownership Securities Derivative Acquired (Instr. 3 and 4) Owned or Indirect (Instr. 4) Security (A) or Disposed Following (I) (Instr. 4) Reported of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Date Expiration (A) (D) Exercisable Shares Date Title Code v Stock Commo \$18.28 07/05/2013 Μ 10.000 (2)01/28/2019 10,000 \$0.0000 54,848 D Options⁽¹⁾ Stock

Explanation of Responses:

1. This transaction was executed pursuant to a trading plan entered into by the reporting person on April 26, 2013, in accordance with Rule 10b5-1 of the Securities Exchange Act of 1934, as amended.

2. This option became exercisable in 1/3 increments beginning on January 29, 2010 and annually thereafter.

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

07/09/2013

Date

** Signature of Reporting Person

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.