SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number:	3235-0287							
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Instruction 1(D).		Filed p		nt to Section 16(a) of ation 30(h) of the Inv					134			1
1. Name and Address of Reporting Person [*] <u>Young Andrew M</u>				2. Issuer Name and Ticker or Trading Symbol <u>CAPITAL ONE FINANCIAL CORP</u> [COF]						ationship of Reporti k all applicable) Director Officer (give title below)	10% (Owner (specify	
(Last) (First) (Middle) 1680 CAPITAL ONE DRIVE			3. Date of Earliest Transaction (Month/Day/Year) 02/03/2022							,	ancial Officer		
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)					6. Indi Line)	6. Individual or Joint/Group Filing (Check Applicable Line)				
MCLEAN	VA	22102							X	Form filed by One Reporting Person			
(City)	(State)	(Zip)								Form filed by More than One Reporting Person			
		Table I - No	n-Derivat	ive S	ecurities Acqu	uired,	Dis	oosed of,	or Ber	eficially	y Owned		
Date		2. Transact Date (Month/Day		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)					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)		(1130.4)	
Common Stoc	k ⁽¹⁾		02/03/2	022		A		7,587	A	\$ <mark>0</mark>	20,371 ⁽²⁾	D	
Common Stoc	k										59	I	By

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

Explanation of Responses:

1. This restricted stock unit award will vest in 1/3 increments beginning on February 15, 2023 and annually thereafter. Each restricted stock unit represents a contingent right to receive one share of Company common stock.

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

Remarks:

/s/ Cleo V. Belmonte (POA on 02/07/2022

file)

** 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.