SEC Form 4

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: 3235-0287 Estimated average burden 0.5 hours per response:

1. Name and Add LaPrade,III	lress of Reporting Pers Frank G.	son [*]	2. Issuer Name and Ticker or Trading Symbol <u>CAPITAL ONE FINANCIAL CORP</u> [COF]		tionship of Reporting Per all applicable) Director	son(s) to Issuer 10% Owner
(Last) 1680 CAPITA	(First) (Middle)		3. Date of Earliest Transaction (Month/Day/Year) 01/31/2012	Х	Officer (give title below) Chief Enterprise S	Other (specify below) rvcs Officer
(Street) MCLEAN	VA	22102	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Filin Form filed by One Rep Form filed by More tha Person	orting 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)		Transaction Disposed Of (D) (Instr. 3, 4 and 5) Code (Instr.		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)		(1150.4)
Common Stock ⁽¹⁾	01/31/2012		A		18,634	A	\$0.0000	58,972	D	
Common Stock ⁽²⁾	01/31/2012		М		8,314	A	\$0.0000	67,286	D	
Common Stock	01/31/2012		F ⁽³⁾		3,509	D	\$45.75	63,777	D	
Common Stock								675.34	I	By 401(k)

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)		5. Numl Derivati Securiti Acquire or Disp of (D) (I 4 and 5)	ve es d (A) osed nstr. 3,	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)	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		(Instr. 4)		
2009 Performance Share Units	\$0.0000 ⁽⁴⁾	01/31/2012		М			8,314	(4)	03/15/2012	Common Stock	8,314	\$0.0000	0.0000	D	
Performance Share Units	\$0.0000 ⁽⁵⁾	01/31/2012		A		22,362		(5)	03/15/2015	Common Stock	22,362	\$0.0000	22,362	D	
Restricted Stock Units	\$0.0000 ⁽⁶⁾	01/31/2012		A		20,125		(7)	(7)	Common Stock	20,125	\$0.0000	20,125	D	
Restricted Stock Units	\$0.0000 ⁽⁶⁾	01/31/2012		A		11,738		12/15/2012	12/15/2012	Common Stock	11,738	\$0.0000	11,738	D	
Stock Options	\$45.75	01/31/2012		A		31,178		(8)	01/30/2022	Common Stock	31,178	\$0.0000	31,178	D	

Explanation of Responses:

1. This restricted stock will vest in 1/3 increments beginning on February 10, 2013 and annually thereafter.

2. These performance shares for the January 29, 2009 grant were settled at the end of a three-year performance period based on the Company's total shareholder return as compared to the total shareholder return of a peer group of companies. These shares represent the number of shares paid out based on actual performance plus the dividend shares accrued under the same grant.

3. These shares were automatically withheld by the Company to satisfy the reporting person's tax obligation associated with the settlement of the performance shares for the January 29, 2009 grant. This is authorized in the performance share award agreement.

4. These performance share units for the January 29, 2009 grant were settled at the end of a three-year performance period based on the Company's total shareholder return as compared to the total shareholder return of a peer group of companies.

5. These performance share units will settle at the end of a three-year performance period (January 1, 2012 to December 31, 2014) based on the Company's relative Adjusted ROA against a peer group of companies. The number of shares reported represents 200% of the target amount. The reporting person will also be entitled to additional shares representing dividends accrued on the shares issuable at settlement.

6. Each restricted stock unit will be settled in cash based on the Company's average fair market value of the underlying shares of common stock over the twenty trading days preceding the vesting date.

7. These restricted stock units will vest in 1/3 increments beginning on February 10, 2013 and annually thereafter.

8. This option becomes exercisable in 1/3 increments beginning on February 10, 2013 and annually thereafter.

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

** Signature of Reporting Person

02/02/2012

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.

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