SEC Form 4

FORM 4

UNITED STATES S	ECURITIES /	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* Alexander Robert M.			2. Issuer Name and Ticker or Trading Symbol CAPITAL ONE FINANCIAL CORP [COF]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
Alexander	<u>Robert M.</u>			1	Director	10% Owner				
				x		Other (specify				
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)		below)	below)				
			03/10/2014	1	Chief Information Officer					
1680 CAPITAL ONE DRIVE		8		1						
			A 16 Amound month Date of Original Filed (Marth/Dau)/(am)	C. In all	idual an IsiatiOnana Filin					
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)	vidual or Joint/Group Filir	ід (Спеск Арріїсаріе				
MCLEAN	VA	22102		X	Form filed by One Re	porting Person				
-				1	Form filed by More than One Reporting					
(City)	(State)	(Zip)			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)		Disposed Of (D) (Instr. 3, 4 and 5)			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⁾	03/10/2014		М		11,880	A	\$0.0000	97,564 ⁽²⁾	D	
Common Stock	03/10/2014		F ⁽³⁾		5,667	D	\$75.15	91,897	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 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. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		nd 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				
Performance Share Units	\$0.0000 ⁽¹⁾	03/10/2014		М			11,880	(1)	(1)	Common Stock	11,880	\$0.0000	0.0000	D	

Explanation of Responses:

1. These performance shares for the January 26, 2011 grant were settled at the end of a three-year performance period based on the Company's relative and absolute cash return on average tangible assets against 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.

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 automatically withheld by the Company to satisfy the reporting person's tax obligation associated with the settlement of the performance shares for the January 26, 2011 grant. This is authorized in the performance share award agreement.

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

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03/12/2014

** 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.