

CAPITAL ONE FINANCIAL CORP

Form 4

February 17, 2017

**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 OF  
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
FINNERAN JOHN G JR

2. Issuer Name **and** Ticker or Trading  
Symbol  
CAPITAL ONE FINANCIAL CORP  
[COF]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)  
1680 CAPITAL ONE DRIVE  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
02/15/2017

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
Gen. Counsel & Corp. Secretary

MCLEAN, VA 22102

4. If Amendment, Date Original  
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|----------------------------------------------------------------|
| Common<br>Stock                       | 02/15/2017                              |                                                             | M                                    | 4,879 A \$ 0 <sup>(1)</sup>                                             | 144,136                                                                                                            | D                                                                       |                                                                |
| Common<br>Stock                       | 02/15/2017                              |                                                             | M                                    | 4,302 A \$ 0 <sup>(1)</sup>                                             | 148,438                                                                                                            | D                                                                       |                                                                |
| Common<br>Stock                       | 02/15/2017                              |                                                             | M                                    | 3,753 A \$ 0 <sup>(1)</sup>                                             | 152,191                                                                                                            | D                                                                       |                                                                |
| Common<br>Stock                       | 02/15/2017                              |                                                             | M                                    | 12,004 A \$ 0 <sup>(2)</sup>                                            | 164,195                                                                                                            | D                                                                       |                                                                |
| Common<br>Stock                       | 02/15/2017                              |                                                             | D                                    | 4,879 D \$ 88.31 <sup>(1)</sup>                                         | 159,316                                                                                                            | D                                                                       |                                                                |

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|              |            |                  |        |   |                           |         |   |                                  |
|--------------|------------|------------------|--------|---|---------------------------|---------|---|----------------------------------|
| Common Stock | 02/15/2017 | D                | 4,302  | D | \$<br><u>(1)</u><br>88.31 | 155,014 | D |                                  |
| Common Stock | 02/15/2017 | D                | 3,753  | D | \$<br><u>(1)</u><br>88.31 | 151,261 | D |                                  |
| Common Stock | 02/15/2017 | D                | 12,004 | D | \$<br><u>(2)</u><br>88.31 | 139,257 | D |                                  |
| Common Stock | 02/15/2017 | F <sup>(3)</sup> | 2,040  | D | \$<br>90.93               | 137,217 | D |                                  |
| Common Stock | 02/15/2017 | F <sup>(4)</sup> | 1,965  | D | \$<br>90.93               | 135,252 | D |                                  |
| Common Stock | 02/15/2017 | F <sup>(5)</sup> | 3,294  | D | \$<br>90.93               | 131,958 | D |                                  |
| Common Stock |            |                  |        |   |                           | 31,683  | I | Finneran/Cotter Children's Trust |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474  
(9-02)

**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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Security (Instr. 3 and 4) |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------------|
|                                            |                                                        |                                      |                                                    | Code                           | V (A) (D)                                                                               | Date Exercisable Expiration Date                         | Title                                                       |
| 2014 Restricted Stock Units                | \$ 0 <sup>(1)</sup>                                    | 02/15/2017                           |                                                    | M                              | 4,879                                                                                   | <sup>(6)</sup> <sup>(6)</sup>                            | Common Stock                                                |
| 2015 Restricted Stock Units                | \$ 0 <sup>(1)</sup>                                    | 02/15/2017                           |                                                    | M                              | 4,302                                                                                   | <sup>(7)</sup> <sup>(7)</sup>                            | Common Stock                                                |

2016

Restricted  
Stock  
Units\$ 0 <sup>(1)</sup>

02/15/2017

M

3,753

(8)(8)Common  
Stock

3

Restricted  
Stock  
Units\$ 0 <sup>(2)</sup>

02/15/2017

M

12,004

02/15/2017<sup>(2)</sup>02/15/2017<sup>(2)</sup>Common  
Stock

12

## Reporting Owners

| Reporting Owner Name / Address                                   | Relationships |           |                                      |       |
|------------------------------------------------------------------|---------------|-----------|--------------------------------------|-------|
|                                                                  | Director      | 10% Owner | Officer                              | Other |
| FINNERAN JOHN G JR<br>1680 CAPITAL ONE DRIVE<br>MCLEAN, VA 22102 |               |           | Gen. Counsel<br>& Corp.<br>Secretary |       |

## Signatures

Cleo Belmonte (POA  
on file)

02/17/2017

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* 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).
- (1) On February 15, 2017 the restricted stock units were settled in cash based on the Company's average fair market value of shares of common stock over the fifteen trading days preceding the vesting date.
- (2) Each restricted stock unit vested on January 1, 2017 and settled in cash on February 15, 2017 based on the Company's average fair market value of the underlying shares of common stock over the fifteen trading days preceding the settlement date.
- (3) Represents the automatic withholding by the issuer to satisfy the reporting person's tax obligation associated with the vesting of restricted stock units granted on January 30, 2014. This is authorized in the applicable restricted stock award agreement.
- (4) Represents the automatic withholding by the issuer to satisfy the reporting person's tax obligation associated with the vesting of restricted stock units granted on January 29, 2015. This is authorized in the applicable restricted stock award agreement.
- (5) Represents the automatic withholding by the issuer to satisfy the reporting person's tax obligation associated with the vesting of restricted stock units granted on February 4, 2016. This is authorized in the applicable restricted stock award agreement.
- (6) These restricted stock units vest in 1/3 increments beginning on February 15, 2015 and annually thereafter.
- (7) These restricted stock units vest in 1/3 increments beginning on February 15, 2016 and annually thereafter.
- (8) These restricted stock units vest in 1/3 increments beginning on February 15, 2017 and annually thereafter.

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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