

Slocum Michael  
Form 4  
February 20, 2019

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

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**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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Slocum Michael

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)  
02/15/2019

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
President, Commercial Banking

MCLEAN, VA 22102  
(City) (State) (Zip)

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting 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. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock	02/15/2019		M		3,228 A \$ 0 <sup>(1)</sup>	72,663	D
Common Stock	02/15/2019		M		2,503 A \$ 0 <sup>(1)</sup>	75,166	D
Common Stock	02/15/2019		M		2,106 A \$ 0 <sup>(1)</sup>	77,272	D
Common Stock	02/15/2019		D		3,228 D \$ 79.85 <sup>(1)</sup>	74,044	D
Common Stock	02/15/2019		D		2,503 D \$ 79.85	71,541	D

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					(1)		
Common Stock	02/15/2019		D	2,106	D	\$ 79.85	69,435
Common Stock	02/15/2019		F <sup>(2)</sup>	2,979	D	\$ 81.57	66,456
Common Stock	02/15/2019		F <sup>(3)</sup>	2,537	D	\$ 81.57	63,919
Common Stock	02/15/2019		F <sup>(4)</sup>	1,960	D	\$ 81.57	61,959

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

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**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 (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 Securities (Instr. 3 and 4)	8. Pr Deriv Secur (Instr	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
2016 Restricted Stock Units	\$ 0 <sup>(1)</sup>	02/15/2019		M	3,228	<sup>(5)</sup>	<sup>(5)</sup>	Common Stock	3,228
2017 Restricted Stock Units	\$ 0 <sup>(1)</sup>	02/15/2019		M	2,503	<sup>(6)</sup>	<sup>(6)</sup>	Common Stock	2,503
2018 Restricted Stock Units	\$ 0 <sup>(1)</sup>	02/15/2019		M	2,106	<sup>(7)</sup>	<sup>(7)</sup>	Common Stock	2,106

