Instruction 1(b).

FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

lochington	D C	20E40	
Vashington,	D.C.	20549	

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

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

**OMB APPROVAL** OMB Number: 3235-0287 Estimated average burden 0.5 hours per response:

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person*  FAIRBANK RICHARD D						2. Issuer Name and Ticker or Trading Symbol CAPITAL ONE FINANCIAL CORP [ COF									5. Relationship of Reporting Person(s) to Issuer (Check all applicable)							
						CAPITAL ONE FINANCIAL CORP   COF									Directo	,		10% Ov	vner			
(Last) (First) (Middle)					3. Da	Date of Earliest Transaction (Month/Day/Year)								X	Officer below)	er (give title /)		Other (s below)	specify			
1680 CA	1680 CAPITAL ONE DRIVE				07/2	07/28/2023									Chairman and CEO							
(Street) MCLEA	N V	A :	22102		4. If A	4. If Amendment, Date of Original Filed						ay/Year)		Individ ne) X	Form f	Joint/Group Filing (Check Applicab filed by One Reporting Person filed by More than One Reporting n			on			
(City)	(State) (Zip)				Ru	Rule 10b5-1(c) Transaction Indication																
					X	Chec satist	k this fy the	box to in affirmativ	dicate that a	a tran condit	saction was ions of Rule	made purs 10b5-1(c)	suant to a c See Instru	o a contract, instruction or written plan that is intended to nstruction 10.								
		Tabl	e I - No	n-Deriv	ative	Sec	uriti	ies Ac	quired,	Dis	posed o	of, or B	eneficia	ally C	Owne	d						
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) Disposed Of (D) (Instr. 3, 4 5)			4 and Securities Beneficially Owned Follo		es ially Following	s Form ally (D) o ollowing (I) (Ir		7. Nature of Indirect Beneficial Ownership						
									Code	v	Amount	(A) o	Price	- 11	Reporte Transac (Instr. 3	tion(s)			(Instr. 4)			
Common	Common Stock <sup>(1)</sup>		07/28/	28/2023				M		3,891	. A	\$70.	96	3,852,297			D					
Common	Stock <sup>(1)</sup>			07/28/	2023				S		3,891	. D	\$116	.19	19 3,848,406 D		D					
Common	Stock <sup>(1)</sup>			07/31/	2023				М		3,891	. A	\$70.	96 3,852,297 D								
Common	Stock <sup>(1)</sup>			07/31/	2023				S		3,891	. D	\$115	\$115.17 3,848,406 D								
		Ta	able II -	Deriva (e.g., p							osed of converti				vned							
1. Title of Derivative Security (Instr. 3)	erivative Conversion Date Execurity or Exercise (Month/Day/Year) if a		3A. Deer Execution if any (Month/I	on Date,	4. Transaction Code (Instr. 8)		on of I		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) (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 Exercisab		expiration Pate	Title	Amount or Number of Shares	1								
Stock Options <sup>(1)</sup>	\$70.96	07/28/2023			M			3,891	02/15/201	7 0	1/29/2024	Common Stock	3,891		\$0	89,489		D				
Stock Options <sup>(1)</sup>	\$70.96	07/31/2023			M			3,891	02/15/201	7 0	1/29/2024	Common Stock	3,891	,	\$ <mark>0</mark>	85,598		D				

## **Explanation of Responses:**

1. This transaction was executed pursuant to a trading plan entered into by the reporting person on February 10, 2023, in accordance with Rule 10b5-1 of the Securities Exchange Act of 1934, as amended.

## Remarks:

/s/ Cleo Belmonte (POA on file) \*\* Signature of Reporting Person

08/01/2023

Date

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

 $^{\star}$  If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

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.

<sup>\*\*</sup> Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).