## SEC Form 4

## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 

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

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

|  | Iress of Reporting F             |       | 2. Issuer Name and Ticker or Trading Symbol<br>CAPITAL ONE FINANCIAL CORP [ COF |                   | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) |                                   |  |  |  |
|--|----------------------------------|-------|---|-------------------|---|-----------------------------------|--|--|--|
| FAIRBANK RICHARD D   |                                  |       |   | X                 | Director  | 10% Owner                         |  |  |  |
| (Last)<br>1680 CAPITA  | (First) (Middle)<br>AL ONE DRIVE |       | 3. Date of Earliest Transaction (Month/Day/Year)   01/27/2022                   | x                 | Officer (give title<br>below)<br>Chairman an                            | Other (specify<br>below)<br>d CEO |  |  |  |
| (Street)   |                                  |       | 4. If Amendment, Date of Original Filed (Month/Day/Year)                        | 6. Indiv<br>Line) | ridual or Joint/Group Filir   | ng (Check Applicable              |  |  |  |
| MCLEAN   | VA                               | 22102 |   | X                 | Form filed by One Rep   | porting Person                    |  |  |  |
| ,<br>(City)  | (State)                          | (Zip) | —   |                   | Form filed by More the<br>Person  | an One Reporting                  |  |  |  |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |                                  |       |   |                   |   |                                   |  |  |  |

#### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transa<br>Code (<br>8) |   | 4. Securities<br>Disposed Of |               |          | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------|--|---|------------------------------|---|------------------------------|---------------|----------|---|---|---|
|                                 |  |   | Code                         | v | Amount                       | (A) or<br>(D) | Price    | Transaction(s)<br>(Instr. 3 and 4)  |   |   |
| Common Stock <sup>(1)</sup>     | 01/27/2022                                 |   | М                            |   | 100                          | Α             | \$45.75  | 3,758,910 <sup>(2)</sup>  | D   |   |
| Common Stock <sup>(1)</sup>     | 01/27/2022                                 |   | S                            |   | 57                           | D             | \$146.82 | 3,758,853   | D   |   |

### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of<br>Deriv<br>Secu<br>Acqu<br>(A) o<br>Dispe<br>of (D | Expiration Date<br>(Month/Day/Year)<br>curities<br>quired<br>or<br>posed<br>D)<br>D) |                     | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |                 | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|---|---|--|---|------------------------------|---|--|--|---------------------|--|-----------------|---|--|--|--|--|
|   |   |  |   | Code                         | v | (A)  | (D)  | Date<br>Exercisable | Expiration<br>Date   | Title           | Amount<br>or<br>Number<br>of<br>Shares              |  |  |  |  |
| Stock<br>Options <sup>(1)</sup>                     | \$45.75   | 01/27/2022                                 |   | М                            |   |  | 100  | 02/10/2015          | 01/30/2022   | Common<br>Stock | 100   | \$0  | 0  | D  |  |

Explanation of Responses:

1. This transaction was executed pursuant to a trading plan entered into by the reporting person on February 10, 2021, in accordance with Rule 10b5-1 of the Securities Exchange Act of 1934, as amended. 2. Includes shares acquired by the reporting person through the Company's Dividend Reinvestment Plan since the last reported transaction.

#### Remarks:

#### /s/ Cleo Belmonte (POA on <u>file)</u>

01/31/2022

\*\* Signature of Reporting Person Date

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

 $\ast$  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.