

CAPITAL ONE FINANCIAL CORP  
Form 4  
July 03, 2007

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
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 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 \*  
**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)

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

3. Date of Earliest Transaction (Month/Day/Year)  
**06/29/2007**

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
**Chairman, CEO and President**

**MCLEAN, VA 22102**

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

(City) (State) (Zip)

**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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                                      |
| Common Stock <sup>(1)</sup>     | 06/29/2007                           |  | M                              |   | 10,739  | A  | \$ 16.25                                   |
| Common Stock <sup>(1)</sup>     | 06/29/2007                           |  | S                              |   | 100   | D  | \$ 78.01                                   |
| Common Stock <sup>(1)</sup>     | 06/29/2007                           |  | S                              |   | 100   | D  | \$ 78.05                                   |
| Common Stock <sup>(1)</sup>     | 06/29/2007                           |  | S                              |   | 100   | D  | \$ 78.07                                   |
| Common Stock <sup>(1)</sup>     | 06/29/2007                           |  | S                              |   | 100   | D  | \$ 78.08                                   |

## Edgar Filing: CAPITAL ONE FINANCIAL CORP - Form 4

|                         |            |   |     |   |          |           |   |
|-------------------------|------------|---|-----|---|----------|-----------|---|
| Common Stock <u>(1)</u> | 06/29/2007 | S | 400 | D | \$ 78.09 | 2,215,877 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.11 | 2,215,777 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.12 | 2,215,677 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.22 | 2,215,577 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.23 | 2,215,477 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 300 | D | \$ 78.24 | 2,215,177 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.26 | 2,215,077 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.27 | 2,214,977 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 200 | D | \$ 78.29 | 2,214,777 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.3  | 2,214,677 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.31 | 2,214,577 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.32 | 2,214,477 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.35 | 2,214,377 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 139 | D | \$ 78.41 | 2,214,238 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.58 | 2,214,138 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 200 | D | \$ 78.61 | 2,213,938 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.62 | 2,213,838 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.63 | 2,213,738 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.65 | 2,213,638 | D |
| Common Stock <u>(1)</u> | 06/29/2007 | S | 100 | D | \$ 78.67 | 2,213,538 | D |
|                         | 06/29/2007 | S | 200 | D |          | 2,213,338 | D |

Edgar Filing: CAPITAL ONE FINANCIAL CORP - Form 4

|                             |            |  |   |     |       |          |           |   |  |  |                    |
|-----------------------------|------------|--|---|-----|-------|----------|-----------|---|--|--|--------------------|
| Common Stock <sup>(1)</sup> |            |  |   |     | \$    |          |           |   |  |  |                    |
|                             |            |  |   |     | 78.69 |          |           |   |  |  |                    |
| Common Stock <sup>(1)</sup> | 06/29/2007 |  | S | 100 | D     | \$ 78.7  | 2,213,238 | D |  |  |                    |
| Common Stock <sup>(1)</sup> | 06/29/2007 |  | S | 100 | D     | \$ 78.73 | 2,213,138 | D |  |  |                    |
| Common Stock                |            |  |   |     |       |          | 107,502   | I |  |  | By Fairbank Morris |

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

**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 control number.**

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 Securities (Instr. 3 and 4) | 8. Pr Deriv Secur (Inst |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------|----------------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                   | Amount or Number of Shares |
| Employee Stock Option (Right to Buy)       | \$ 16.25   | 06/29/2007                           |  | M                              | 10,739  | <sup>(2)</sup>   | 12/17/2007  | COF                     | 10,739                     |

## Reporting Owners

| Reporting Owner Name / Address                                   | Relationships |           |                                   |       |
|--|---------------|-----------|-----------------------------------|-------|
|  | Director      | 10% Owner | Officer                           | Other |
| FAIRBANK RICHARD D<br>1680 CAPITAL ONE DRIVE<br>MCLEAN, VA 22102 | X             |           | Chairman,<br>CEO and<br>President |       |

## Signatures

/s/ Tangela S. Richter (POA) on file for Richard D.  
Fairbank

07/03/2007

\_\_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) This transaction was executed pursuant to a trading plan entered into by the Reporting Person on February 1, 2007, in accordance with Rule 10b5-1 under the Securities Exchange Act of 1934, as amended.  
  
This option became exercisable upon stockholder approval on April 23, 1998, since the performance-based vesting criteria of the option was satisfied on April 16, 1998, the date on which the trading price of the Common Stock first exceeded \$84.00 (pre-stock split) for at least ten trading days in any thirty calendar-day period. This requirement had to be satisfied on or before the third anniversary of the grant date of this option.
- (2)

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.