

Hall Sheldon  
Form 3  
August 13, 2018

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## INITIAL STATEMENT OF 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 \*

Â Hall Sheldon

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

08/01/2018

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

4. Relationship of Reporting  
Person(s) to Issuer

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

(Check all applicable)

\_\_\_\_ Director      \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer      \_\_\_\_ Other  
(give title below) (specify below)  
Chief Risk Officer

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
\_\_X\_\_ Form filed by One Reporting  
Person  
\_\_\_\_ Form filed by More than One  
Reporting Person

1680 CAPITAL ONE DRIVE

(Street)

MCLEAN,Â VAÂ 22102

(City)

(State)

(Zip)

### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock

44,635

D

Â

Common Stock

3,038

I

By Spouse

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

SEC 1473 (7-02)

**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.**

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

1. Title of Derivative Security  
(Instr. 4)

2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)

3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

4. Conversion  
or Exercise  
Price of  
Derivative

5. Ownership  
Form of  
Derivative  
Security:

6. Nature of Indirect  
Beneficial Ownership  
(Instr. 5)

## Edgar Filing: Hall Sheldon - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
2016 Restricted Stock Units	Â (1)	Â (1)	Common Stock	537	\$ 0 (1)	D	Â
2017 Restricted Stock Units	Â (2)	Â (2)	Common Stock	2,450	\$ 0 (2)	D	Â
2018 Restricted Stock Units	Â (3)	Â (3)	Common Stock	3,346	\$ 0 (3)	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hall Sheldon 1680 CAPITAL ONE DRIVE MCLEAN,Â VAÂ 22102	Â	Â	Â Chief Risk Officer	Â

## Signatures

Cleo Belmonte (POA  
on file) 08/13/2018

\_\_Signature of Reporting  
Person Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) These restricted stock units vest in 1/3 increments beginning on February 15, 2017 and annually thereafter.
- (2) These restricted stock units vest in 1/3 increments beginning on February 15, 2018 and annually thereafter.
- (3) These restricted stock units vest in 1/3 increments beginning on February 15, 2019 and annually thereafter.

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### Remarks:

ExhibitÂ 24.1Â -Â PowerÂ ofÂ AttorneyÂ -Â Hall

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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