

CAPITAL ONE FINANCIAL CORP

Form 4

March 17, 2005

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(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)
03/15/2005

☒ 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 Ownership Indirect Beneficial Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)	Price	
Common Stock ⁽¹⁾	03/15/2005		M		255,640	A	\$ 9.73	2,419,026 D
Common Stock ⁽¹⁾	03/15/2005		S		13,200	D	\$ 78.1	2,405,826 D
Common Stock ⁽¹⁾	03/15/2005		S		500	D	\$ 78.11	2,405,326 D
Common Stock ⁽¹⁾	03/15/2005		S		1,100	D	\$ 78.12	2,404,226 D
Common Stock ⁽¹⁾	03/15/2005		S		500	D	\$ 78.13	2,403,726 D

Edgar Filing: CAPITAL ONE FINANCIAL CORP - Form 4

Common Stock <u>(1)</u>	03/15/2005	S	1,100	D	\$ 78.15	2,402,626	D
Common Stock <u>(1)</u>	03/15/2005	S	700	D	\$ 78.17	2,401,926	D
Common Stock <u>(1)</u>	03/15/2005	S	1,100	D	\$ 78.18	2,400,826	D
Common Stock <u>(1)</u>	03/15/2005	S	1,800	D	\$ 78.2	2,399,026	D
Common Stock <u>(1)</u>	03/15/2005	S	11,000	D	\$ 78.25	2,388,026	D
Common Stock <u>(1)</u>	03/15/2005	S	10,000	D	\$ 78.3	2,378,026	D
Common Stock <u>(1)</u>	03/15/2005	S	10,000	D	\$ 78.5	2,368,026	D
Common Stock <u>(1)</u>	03/15/2005	S	10,000	D	\$ 78.68	2,358,026	D
Common Stock <u>(1)</u>	03/15/2005	S	9,400	D	\$ 78.9	2,348,626	D
Common Stock <u>(1)</u>	03/15/2005	S	100	D	\$ 78.91	2,348,526	D
Common Stock <u>(1)</u>	03/15/2005	S	100	D	\$ 78.92	2,348,426	D
Common Stock <u>(1)</u>	03/15/2005	S	100	D	\$ 78.95	2,348,326	D
Common Stock <u>(1)</u>	03/15/2005	S	1,500	D	\$ 79	2,346,826	D
Common Stock <u>(1)</u>	03/15/2005	S	100	D	\$ 79.03	2,346,726	D
Common Stock <u>(1)</u>	03/15/2005	S	18,200	D	\$ 79.05	2,328,526	D
Common Stock <u>(1)</u>	03/15/2005	S	5,400	D	\$ 79.06	2,323,126	D
Common Stock <u>(1)</u>	03/15/2005	S	3,500	D	\$ 79.08	2,319,626	D
Common Stock <u>(1)</u>	03/15/2005	S	200	D	\$ 79.1	2,319,426	D
Common Stock <u>(1)</u>	03/15/2005	S	1,400	D	\$ 79.2	2,318,026	D
Common Stock <u>(1)</u>	03/15/2005	S	540	D	\$ 78.26	2,317,486	D
	03/15/2005	S	34,100	D		2,283,386	D

Edgar Filing: CAPITAL ONE FINANCIAL CORP - Form 4

Common Stock <u>(1)</u>					\$ 79.25			
Common Stock <u>(1)</u>	03/15/2005		S	15,000	D	\$ 79.37	2,268,386	D
Common Stock							107,502	I
								By Fairbank Morris Inc.

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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount Number Shares
Employee Stock Option (Right to Buy)	\$ 9.73	03/15/2005		M	255,640	<u>(2)</u> 09/15/2005	Common Stock 255,64

Reporting Owners

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

Signatures

By: Polly A. Nyquist (POA
on File) 03/17/2005

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 November 12, 2004 in accordance with Rule 10b5-1 under the Securities Exchange Act of 1934, as amended.

This option is fully vested. The option vested in 1997 and 1998 in accordance with the following schedule: 50% vested when the trading price of the Common Stock equaled or exceeded \$37.50 for at least 10 business days within any period of 30 consecutive days; 25%

- (2) when the trading price of the Common Stock equaled or exceeded \$43.75 for at least 10 business days within any period of 30 consecutive days; and the remaining 25% when the trading price of the Common Stock equaled or exceeded \$50.00 for 10 business days within any period of 30 consecutive days. This vesting schedule does not reflect the June 1, 1999, 3-for-1 stock split adjustment.

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.