Edgar Filing: CAPITAL ONE FINANCIAL CORP - Form 144

CAPITAL ONE FINANCIAL CORP

Form 144 July 24, 2007

## **UNITED STATES**

#### OMB APPROVAL

**OMB Number:** 3235-0101 **Expires:** December 31, 2006

Estimated average burden

hours per response

Washington, D.C. 20549

SECURITIES AND EXCHANGE COMMISSION

**FORM 144** 

SEC USE ONLY

4.47

## NOTICE OF PROPOSED SALE OF SECURITIES

DOCUMENT SEQUENCE NO.

## PURSUANT TO RULE 144 UNDER THE SECURITIES ACT OF 1933

ATTENTION: Transmit for filing 3 copies of this form concurrently with either placing an order with a broker to execute sale or executing a sale directly with a market maker.

**CUSIP NUMBER** 

WORK LOCATION

1 (a) NAME OF ISSUER (Please type or print)

(b) IRS IDENT. NO.

(c) S.E.C. FILE NO.

Capital One Financial Corporation

54-1719854

1-13300

1 (d) ADDRESS OF ISSUER STREET STATE ZIP CODE (e) TELEPHONE NO. CITY 22102

1680 Capital One Drive McLean VA AREA CODE NUMBER 703 720-1000

(b) IRS IDENT. NO. (c) RELATIONSHIP TO (d) ADDRESS STATE ZIP CODE 2 (a) NAME OF PERSON FOR WHOSE CITY

**ISSUER** STREET

ACCOUNT THE SECURITIES N/A McLean VA 22102

> CEO 1680 Capital One Drive

ARE TO BE SOLD

Richard D. Fairbank

INSTRUCTION: The person filing this notice should contact the issuer to obtain the I.R.S. Identification Number and the S.E.C. File Number.

3 (a) Title of the	(b) Name and Address of Each Broker	SEC USE ONLY Broker-Dealer	(c) Number of Shar		(e) Number of Share	(f) s Approximate	(g) Name of Each
Class of	Through Whom the Securities are	File Number	or Other Units	Market Value	or Other Units	Date of Sale	Securities
Securities	to be Offered or Each Market		To Be Sold	(See instr. 3(d))	Outstanding	(See instr. 3(f))	Exchange
To Be Sold	Maker who is Acquiring		(See instr. 3(c))		(See instr. 3(e))	(MO. DAY YR.)	(See instr. $3(g)$ )
	the Securities						
Common Stock	Banc of America Investment Services, Inc.		311,497	\$24,343,490.55	5 415,593,371	Various	NYSE
	555 California Street, 7th Floor			@ 7/23/2007	@ 04/30/2007	pursuant to	
						10b5-1 plan	

## Edgar Filing: CAPITAL ONE FINANCIAL CORP - Form 144

San Francisco, CA 94104-1503

## **INSTRUCTIONS:**

- 1. (a) Name of issuer
  - (b) Issuer s I.R.S. Identification Number
  - (c) Issuer s S.E.C. file number, if any
  - (d) Issuer s address, including zip code
  - (e) Issuer s telephone number, including area code
- 2. (a) Name of person for whose account the securities are to be sold
  - (b) Such person s I.R.S. identification number, if such person is an entity
  - (c) Such person's relationship to the issuer (e.g., officer, director, 10% stockholder, or member of immediate family of any of the foregoing)
  - (d) Such person s address, including zip code
- 3. (a) Title of the class of securities to be sold
  - (b) Name and address of each broker through whom the securities are intended to be sold
  - (c) Number of shares or other units to be sold (if debt securities, give the aggregate face amount)
  - (d) Aggregate market value of the securities to be sold as of a specified date within 10 days prior to the filing of this notice
  - (e) Number of shares or other units of the class outstanding, or if debt securities the face amount thereof outstanding, as shown by the most recent report or statement published by the issuer
  - (f) Approximate date on which the securities are to be sold
  - (g) Name of each securities exchange, if any, on which the securities are intended to be sold

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 control number.

SEC 1147 (01-04)

### TABLE I SECURITIES TO BE SOLD

Furnish the following information with respect to the acquisition of the securities to be sold

and with respect to the payment of all or any part of the purchase price or other consideration therefor:

Title of	Date you	Name of Person from Whom Acquired			
the Class Common Stock	Acquired Various	Nature of Acquisition Transaction (If gift, also give date donor acquired)  Vesting of options  Capital One Financial Corpora		Date of Payment Various	Nature of Payment Vesting of options granted by Capital One
					- 1

Financial Corporation

**INSTRUCTIONS:** If the securities were purchased and full payment therefor was not made in cash at the time of purchase, explain in the table or in a note thereto the nature of the consideration given. If the consideration consisted of any note or other obligation, or if payment was made in installments describe the arrangement and state when the note or other obligation was discharged in full or the last installment paid.

## TABLE II SECURITIES SOLD DURING THE PAST 3 MONTHS

Furnish the following information as to all securities of the issuer sold during the past 3 months by the person for whose account the securities are to be sold.

			Amount of	
Name and Address of Seller	Title of Securities Sold	Date of Sale	Securities Sold	Gross Proceeds
Richard D. Fairbank	Common Stock	May 1, 2007 through	622,862	\$48,659,054.74
1680 Capital One Drive, McLean VA 22102		July 23, 2007		
Gunston Hall	Common Stock	June 29, 2007	318	Gross proceeds are unknown because this is an assumed sale.
				saic.

## **REMARKS:**

The shares covered by this Form 144 are being sold pursuant to a 10b5-1 sales plan dated as of February 1, 2007, and the representation below regarding the seller s knowledge of material information speaks as of that plan s adoption date.

#### **INSTRUCTIONS:** ATTENTION:

See the definition of person in paragraph (a) of Rule 144. Information is The person for whose account the securities to which this notice to be given not only as to the person for whose account the securities are to be sold but also as to all other persons included in that definition. In addition, information shall be given as to sales by all persons whose sales are required by paragraph (e) of Rule 144 to be aggregated with sales for the account of the person filing this notice.

relates are to be sold hereby represents by signing this notice that he does not know any material adverse information in regard to the current and prospective operations of the Issuer of the securities to be sold which has not been publicly disclosed.

July 24, 2007

/s/ Richard D. Fairbank

# Edgar Filing: CAPITAL ONE FINANCIAL CORP - Form 144

DATE OF NOTICE

SIGNATURE)

The notice shall be signed by the person for whose account the securities are to be sold. At least one copy of the notice shall be manually signed.

Any copies not manually signed shall bear typed or printed signatures.

ATTENTION: Intentional misstatements or omission of facts constitute Federal Criminal Violations (See 18 U.S.C. 1001)

SEC 1147 (01-04)