

## LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - **All Filers Are Required To Complete This Page**

1. Registrant Name:

**CAPITAL ONE FINANCIAL CORP**

2. Address:

1680 CAPITAL ONE DR 12TH FLOOR, MCLEAN, VA 22102

3. Principal place of business (if different from line 2):

4. Contact Name: MICHAEL MORAN

Telephone: 7037202291

E-mail (optional): michael.moran@capitalone.com

Senate ID #: 53824-12

House ID #:

7. Client Name: ☒ Self

## TYPE OF REPORT

8. Year 2006 Midyear (January 1 - June 30): ☐ **OR** Year End (July 1 - December 31): ☒

9. Check if this filing amends a previously filed version of this report: ☐

10. Check if this is a Termination Report: ☐ => Termination Date: 11. No Lobbying Activity: ☐

## INCOME OR EXPENSES

Complete Either Line 12 **OR** Line 13

### 12. Lobbying Firms

**INCOME** relating to lobbying activities for this reporting period was:

Less than \$10,000: ☐

\$10,000 or more: ☐ => Income (nearest \$20,000): \_\_\_\_\_

Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).

### 13. Organizations

**EXPENSES** relating to lobbying activities for this reporting period were:

Less than \$10,000: ☐

\$10,000 or more: ☒ => Expenses (nearest \$20,000): 510,000.00

### 14. Reporting Method.

Check box to indicate expense accounting method. See instructions for description of options.

☒ **Method A.** Reporting amounts using LDA definitions only

☐ **Method B.** Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

☐ **Method C.** Reporting amounts under section 162(e) of the Internal Revenue Code

Registrant Name: CAPITAL ONE FINANCIAL CORP Client Name: Self

### LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: ADV (one per page)

16. Specific lobbying issues:

S.662 and H.R.22 - Postal Accountability and Enhancement Act of 2005.

17. House(s) of Congress and Federal agencies contacted:

Executive Office of the President (EOP)

HOUSE OF REPRESENTATIVES

SENATE

Treasury, Dept of

18. Name of each individual who acted as a lobbyist in this issue area:

Name: OLSON, RICK

Covered Official Position (if applicable): N/A

Name: SILVERTHORNE, RICHARD

Covered Official Position (if applicable): N/A

Name: STEIN, LARRY

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: CAPITAL ONE FINANCIAL CORP Client Name: Self

## LOBBYING ACTIVITY

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: BAN (one per page)

16. Specific lobbying issues:

S.1216 Financial Privacy Breach Notification Act of 2005; S.1326 Notification of Risk to Personal Data Act; S.1332 Personal Data Privacy and Security Act of 2005; S.1336 Consumer Identity Protection and Security Act; S.1408 Identity Protection Act; H.R.1069 Notification of Risk to Personal Data Act; H.R.1080 Information Protection and Security Act; H.R.3140 Consumer Data Security and Notification Act of 2005; H.R.1185 Federal Deposit Insurance Reform Act of 2005; S.29 Social Security Number Misuse Prevention Act; H.R.82 Social Security Online Privacy Protection Act; H.R.1078 Social Security Number Protection Act of 2005; H.R.1745 Social Security Number Privacy and Identity Theft Prevention Act of 2005; S.687 Spyware Internet Protection Bill; S.1004 Enhanced Consumer Protection Against Spyware Act of 2005; H.R.29 Securely Protect Yourself Against Cyber Trespass Act; H.R.744 Internet Spyware Prevention Act of 2005; H.R.3505 Financial Services Regulatory Relief Act of 2005; S.5 Class Action Fairness Act of 2005 and H.R.516 Class Action Fairness Act of 2005; Hurricane Reconstruction Efforts; H.R.5924 to amend the Small Business Act to provide loan guarantees for certain private disaster loans; S.4097 - a bill to improve disaster loans program in the SBA; S.3786 - SBA reauthorization; S.3778 - SBA reauthorization. S.115 Notification of Risk to Personal Data Act; S.116 Privacy Act of 2005; S.500 Information Protection and Security Act; S.751 Notification of Risk to Personal Data Act; S.768 Comprehensive Identity Theft Prevention Act;

17. House(s) of Congress and Federal agencies contacted:

Executive Office of the President (EOP)

Federal Reserve System

Federal Trade Commission (FTC)

HOUSE OF REPRESENTATIVES

SENATE

Small Business Administration (SBA)

Treasury, Dept of

18. Name of each individual who acted as a lobbyist in this issue area:

Name: BRESEE, ELISABETH

Covered Official Position (if applicable): N/A

Name: OLSON, RICK

Covered Official Position (if applicable): N/A

Name: PFEIFFER, EMILY

Covered Official Position (if applicable): N/A

Name: SILVERTHORNE, RICHARD

Covered Official Position (if applicable): N/A

Name: STEIN, LARRY

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: CAPITAL ONE FINANCIAL CORP Client Name: Self

### LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: DEF (one per page)

16. Specific lobbying issues:

S.2766 - John Warner National Defense Authorization Act for Fiscal Year 2007 - Consumer lending issues.

17. House(s) of Congress and Federal agencies contacted:

SENATE

18. Name of each individual who acted as a lobbyist in this issue area:

Name: BRESEE, ELISABETH

Covered Official Position (if applicable): N/A

Name: CURTIS, CHRIS

Covered Official Position (if applicable): N/A

Name: PFEIFFER, EMILY

Covered Official Position (if applicable): N/A

Name: SILVERTHORNE, RICHARD

Covered Official Position (if applicable): N/A

Name: STEIN, LARRY

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: CAPITAL ONE FINANCIAL CORP Client Name: Self

## LOBBYING ACTIVITY

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: FIN (one per page)

16. Specific lobbying issues:

S.1216 Financial Privacy Breach Notification Act of 2005; S.1326 Notification of Risk to Personal Data Act; S.1332 Personal Data Privacy and Security Act of 2005; S.1336 Consumer Identity Protection and Security Act; S.1408 Identity Protection Act; H.R.1069 Notification of Risk to Personal Data Act; H.R.1080 Information Protection and Security Act; H.R.3140 Consumer Data Security and Notification Act of 2005; H.R.1185 Federal Deposit Insurance Reform Act of 2005; S.29 Social Security Number Misuse Prevention Act; H.R.82 Social Security Online Privacy Protection Act; H.R.1078 Social Security Number Protection Act of 2005; H.R.1745 Social Security Number Privacy and Identity Theft Prevention Act of 2005; S.687 Spyware Internet Protection Bill; S.1004 Enhanced Consumer Protection Against Spyware Act of 2005; H.R.29 Securely Protect Yourself Against Cyber Trespass Act; H.R.744 Internet Spyware Prevention Act of 2005; H.R.3505 Financial Services Regulatory Relief Act of 2005; S.5 Class Action Fairness Act of 2005 and H.R.516 Class Action Fairness Act of 2005; Hurricane Reconstruction Efforts; H.R.5924 to amend the Small Business Act to provide loan guarantees for certain private disaster loans; S.4097 - a bill to improve disaster loans program in the SBA; S.3786 - SBA reauthorization; S.3778 - SBA reauthorization. S.115 Notification of Risk to Personal Data Act; S.116 Privacy Act of 2005; S.500 Information Protection and Security Act; S.751 Notification of Risk to Personal Data Act; S.768 Comprehensive Identity Theft Prevention Act;

17. House(s) of Congress and Federal agencies contacted:

Executive Office of the President (EOP)

Federal Reserve System

Federal Trade Commission (FTC)

HOUSE OF REPRESENTATIVES

SENATE

Small Business Administration (SBA)

Treasury, Dept of

18. Name of each individual who acted as a lobbyist in this issue area:

Name: BRESEE, ELISABETH

Covered Official Position (if applicable): N/A

Name: OLSON, RICK

Covered Official Position (if applicable): N/A

Name: PFEIFFER, EMILY

Covered Official Position (if applicable): N/A

Name: SILVERTHORNE, RICHARD

Covered Official Position (if applicable): N/A

Name: STEIN, LARRY

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: CAPITAL ONE FINANCIAL CORP Client Name: Self

### LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: TAX (one per page)

16. Specific lobbying issues:

S.2721 and H.R. 1956 - Business Activity Tax Simplification Act.

17. House(s) of Congress and Federal agencies contacted:

HOUSE OF REPRESENTATIVES

SENATE

18. Name of each individual who acted as a lobbyist in this issue area:

Name: PFEIFFER, EMILY

Covered Official Position (if applicable): N/A

Name: SILVERTHORNE, RICHARD

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Signature: ON FILE Date: Feb 12, 2007

Printed Name and Title: MICHAEL MORAN, POLICY AFFAIRS MANAGER -

**Information Update Page:**

**Complete ONLY where registration information has changed.**

**LOBBYIST UPDATE**

**23. Name of each previously reported individual who is NO LONGER expected to act as a lobbyist for the client**

Name: SILVERTHORNE, RICHARD

**ISSUE UPDATE**

**24. General lobbying issues previously reported that NO LONGER pertain**

**AFFILIATED ORGANIZATIONS**

**25. Add the following organization(s)**

**26. Name of each previously reported organization that is NO LONGER affiliated with the registrant or client**

**FOREIGN ENTITIES**

**27. Add the following foreign entities**

**28. Name of each previously reported foreign entity the NO LONGER owns, OR controls, OR is affiliated with the registrant, client or affiliated organization**

Signature: ON FILE Date: Feb 12, 2007

Printed Name and Title: -