SEC Form 4

## 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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address <u>Upton Jerome</u>	s of Reporting Person $^*$			Name <b>and</b> Ticker ( VORTH FIN)	0,		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
(Last) C/O GENWORT	(Last) (First) (Middle) C/O GENWORTH FINANCIAL, INC.			f Earliest Transacti 011	on (Month/Day/	Year)	x	Officer (give title below)	Other (specify below) resident			
6620 WEST BROAD STREET				ndment, Date of Or	iginal Filed (Mo	nth/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street) RICHMOND	VA	23230					X	Form filed by One Form filed by More		ng Person		
(City)	(State)	(Zip)										
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
1. Title of Security (I	nstr. 3)		2. Transaction	2A. Deemed	3.	4. Securities Acquired (A) o	r	5. Amount of	6. Ownership	7. Nature of		

1. The of Security (Instr. 3)	2. Italisacuoli	ZA. Deemeu	J. J.		4. Securities Au	quireu (A)	01	5. Amount of	0. Ownership	7. Nature of
. ,	Date	Execution Date,	Transaction Code (Instr.		Disposed Of (D) (Instr. 3, 4 and 5)			Securities		Indirect Beneficial
	(Month/Day/Year)	if any						Beneficially Owned		
		(Month/Day/Year)	8)						(Instr. 4)	Ownership
						(		Transaction(s)		(Instr. 4)
			Code	v	Amount	(A) or	Price	(Instr. 3 and 4)		
	J					(D)				

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 Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	Owned	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Stock Settled SARs	\$12.75	02/09/2011		А		21,000		(1)	02/09/2021	Class A Common Stock	21,000	\$0	21,000	D	
Restricted Stock Units	(2)	02/09/2011		A		4,667		(3)	(3)	Class A Common Stock	4,667	\$0	4,667	D	

Explanation of Responses:

1. The SARs vest in four equal annual installments beginning on February 9, 2012. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

2. Restricted Stock Units settle in Class A Common Stock on a 1:1 basis.

3. Restricted Stock Units reported on this Form 4 vest and convert to Class A Common Stock in four equal annual installments beginning on February 9, 2012.

<u>/s/ Richard J. Oelhafen, Jr., by</u> power of attorney	<u>02/11/2011</u>
** Signature of Reporting Person	Date

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

\* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

OMB APPROVAL OMB Number: 3235-0287 Estimated average burder hours per response: 0.5