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 In av Act of 1940 nent Cor

| 1. Name and Addres Klein Martin  | ss of Reporting Persor P   | ı*       | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>GENWORTH FINANCIAL INC</u> [ GNW ] | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>Director 10% Owner |   |   |  |  |  |  |  |
|--|----------------------------|----------|---|--|---|---|--|--|--|--|--|
| (Last)<br>C/O GENWOR1  | (First)<br>FH FINANCIAL, I | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)<br>06/01/2012                              |  | Officer (give title<br>below)<br>Acting Pres&Acting | Other (specify below)                   |  |  |  |  |  |
| 6620 WEST BROAD STREET   |                            |          | 4. If Amendment, Date of Original Filed (Month/Day/Year)                                    | 6. Individual or Joint/Group Filing (Check Applicable Line)                                      |   |   |  |  |  |  |  |
| (Street)<br>RICHMOND   | VA                         | 23230    |   | X  | Form filed by One Rep<br>Form filed by More that    | orting Person<br>n One Reporting Person |  |  |  |  |  |
| (City)   | (State)                    | (Zip)    |   |  |   |   |  |  |  |  |  |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |                            |          |   |  |   |   |  |  |  |  |  |

| 1. Title of Security (Instr. 3) | Date<br>(Month/Day/Year) | Transaction<br>Code (Instr. |   |        |               |       | Securities<br>Beneficially Owned<br>Following Reported | Form: Direct (D)<br>or Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------|--------------------------|-----------------------------|---|--------|---------------|-------|--|---|---|
|                                 |                          | Code                        | v | Amount | (A) or<br>(D) | Price | Transaction(s)<br>(Instr. 3 and 4)                     |   | (instr. 4)  |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security (Instr.<br>3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | Transaction<br>Code (Instr.<br>8) |   | Derivative |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Securities Underlying<br>Derivative Security (Instr.<br>3 and 4) |                                  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|-----------------------------------|---|------------|-----|--|--------------------|--|----------------------------------|---|--|--|--|
|   |   |  |   | Code                              | v | (A)        | (D) | Date<br>Exercisable  | Expiration<br>Date | Title  | Amount or<br>Number of<br>Shares |   | Transaction(s)<br>(Instr. 4)   |  |  |
| Stock Settled<br>SARs                               | \$5.13  | 06/01/2012                                 |   | A                                 |   | 125,000    |     | (1)  | 06/01/2022         | Class A<br>Common<br>Stock   | 125,000                          | \$0   | 125,000  | D  |  |
| Restricted Stock<br>Units                           | (2)   | 06/01/2012                                 |   | A                                 |   | 100,000    |     | (3)  | (3)                | Class A<br>Common<br>Stock   | 100,000                          | \$0   | 100,000  | D  |  |

Explanation of Responses:

1. The SARs vest in three equal annual installments beginning on June 1, 2013. 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 three equal annual installments beginning on June 1, 2013.



\*\* 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.

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