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 of Reporting Person [*] McKay Scott J			2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [GNW]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner							
(Last) C/O GENWOR	(First) TH FINANCIA	(Middle) L, INC.	3. Date of Earliest Transaction (Month/Day/Year) 08/06/2013	X	Officer (give title below) SVP- Chief Inform	Other (specify below)						
6620 WEST BR (Street) RICHMOND (City)	COAD STREET VA (State)	23230 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv X	 Individual or Joint/Group Filing (Check Applicable X Form filed by One Reporting Person Form filed by More than One Reporting F 							
	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned											

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	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Class A Common Stock	08/06/2013		М		80,000	Α	\$7.8	105,588	D	
Class A Common Stock	08/06/2013		D		47,816	D	\$13.05	57,772	D	
Class A Common Stock	08/06/2013		F		10,653	D	\$13.05	47,119	D	
Class A Common Stock	08/06/2013		М		8,100	A	\$7.8	55,219	D	
Class A Common Stock	08/06/2013		D		4,841	D	\$13.05	50,378	D	
Class A Common Stock	08/06/2013		F		1,079	D	\$13.05	49,299	D	
Class A Common Stock								911.892	I	By 401(k) Plan

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

(e.g., puts, cans, 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)	Code (Ir	I. 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)	derivative Securities Beneficially Owned Following Reported	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	\$7.8	08/06/2013		м			80,000	08/19/2012	05/25/2014	Class A Common Stock	80,000	\$0	0	D	
Stock Settled SARs	\$7.8	08/06/2013		М			8,100	08/19/2012	07/20/2015	Class A Common Stock	8,100	\$0	0	D	

Explanation of Responses:

Remarks:

The net shares received by the reporting person for the exercise of stock settled stock appreciation rights are subject to the issuer's 9-month holding period policy. On April 1, 2013, pursuant to a previously announced plan to implement a holding company reorganization, Genworth Financial, Inc., a Delaware corporation (formerly named Sub XLVI, Inc.), became the successor issuer to Genworth Holdings, Inc., a Delaware corporation (formerly named Genworth Financial, Inc.).

> /s/ Michael J. McCullough, by power of attorney

08/07/2013

** 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.

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.

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