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

			Derivative Securities Acquired Disposed of or Benefic							
(City)	(State)	(Zip)								
(Street) RICHMOND	VA	23230		X	Form filed by One Rep Form filed by More tha	orting Person n One Reporting Person				
6620 WEST BR	OAD STREET		4. If Amendment, Date of Original Filed (Month/Day/Year)		6. Individual or Joint/Group Filing (Check Applicable Line)					
C/O GENWOR	TH FINANCIAI	, INC.		worth						
(Last) (First) (Middle)		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/01/2013	x	Officer (give title below)	Other (specify below)				
1. Name and Addre <u>KELLEHER</u>	ss of Reporting Per		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					

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)					5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	(Instr. 3 and 4)		(Instr. 4)
Class A Common Stock	11/01/2013		М		166,666	A	\$7.8	252,242	D	
Class A Common Stock	11/01/2013		D		89,470	D	\$14.53	162,772	D	
Class A Common Stock	11/01/2013		F		36,824	D	\$14.53	125,948	D	
Class A Common Stock	11/01/2013		М		33,334	Α	\$5.13	159,282	D	
Class A Common Stock	11/01/2013		D		11,769	D	\$14.53	147,513	D	
Class A Common Stock	11/01/2013		F		10,287	D	\$14.53	137,226	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)				7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of 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	11/01/2013		М			166,666	08/19/2013	08/19/2019	Class A Common Stock	166,666	\$0	0	D	
Stock Settled SARs	\$5.13	11/01/2013		М			33,334	06/01/2013	06/01/2022	Class A Common Stock	33,334	\$0	66,666	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.

/s/ Christine A. Ness, by power of attorney	11/05/2013		
** 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.