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). Ш

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 Addre		erson*	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) 11/06/2013	X	Officer (give title below) SVP - Corporate	Other (specify below)				
C/O GENWORTH FINANCIAL, INC. 6620 WEST BROAD STREET (Street) RICHMOND VA 23230 (City) (State) (Zip)		23230	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv X	 6. Individual or Joint/Group Filing (Check Applicable Line X Form filed by One Reporting Person Form filed by More than One Reporting Persor 					
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)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Class A Common Stock	11/06/2013		М		7,000	A	\$7.8	25,943	D	
Class A Common Stock	11/06/2013		D		3,742	D	\$14.59	22,201	D	
Class A Common Stock	11/06/2013		F		1,110	D	\$14.59	21,091	D	
Class A Common Stock	11/06/2013		М		8,166	A	\$7.8	29,257	D	
Class A Common Stock	11/06/2013		D		4,365	D	\$14.59	24,892	D	
Class A Common Stock	11/06/2013		F		1,295	D	\$14.59	23,597	D	
Class A Common Stock	11/06/2013		М		10,383	A	\$7.8	33,980	D	
Class A Common Stock	11/06/2013		D		5,551	D	\$14.59	28,429	D	
Class A Common Stock	11/06/2013		F		1,646	D	\$14.59	26,783	D	
Class A Common Stock								1,278.818	Ι	By 401(k) Plan

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. Transac Code (In 8)			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)	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	11/06/2013		М			7,000	08/19/2012	07/20/2015	Class A Common Stock	7,000	\$ 0	0	D	
Stock Settled SARs	\$7.8	11/06/2013		М			8,166	08/19/2012	08/09/2016	Class A Common Stock	8,166	\$ <u>0</u>	0	D	
Stock Settled SARs	\$7.8	11/06/2013		М			10,383	08/19/2012	07/31/2017	Class A Common Stock	10,383	\$ <u>0</u>	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.

/s/ Christine A. Ness, by power of 11/08/2013

** Signature of Reporting Person Date

attorney

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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