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 [*] Groh Kelly L					ANCL	AL I	<u>NC</u> [GNW		tionship of Reporting F all applicable) Director						
(Last) (First) (Mid C/O GENWORTH FINANCIAL, INC.		(Middle)			on (Montl	h/Day/	Year)	X	Officer (give title below) Vice Presider	Other (specify below) nt & Controller					
6620 WEST BROAD STREET			4. If Ame	4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person					
(Street) RICHMOND	VA	23230								Form filed by More	than One Reporti	ng Person			
(City)	(State)	(Zip)		Observe Securities Acquired, Disposed of, or Beneficially Owned Perivative Securities Acquired, Disposed of, Or Beneficially Owned 17ransaction te between the termination to point/Day/Year) 24. Deemed te between te between termination to point/Day/Year) 3. Date of Earliest Transaction (Month/Day/Year) 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person Form: Direct (D) Code (Instr. Disposed Of (D) (Instr. 3, 4 and 5) S. Amount of Securities Deneficially Owned											
		Table I - No	n-Derivative	Securities Acq	uired,	Disp	osed of, or	Benefic	cially Ow	ned					
1. Title of Security (Ir	nstr. 3)		2. Transaction Date (Month/Day/Year)	Execution Date, if any	Transac Code (Ir					Securities Beneficially Owned Following Reported	Form: Direct (D) or Indirect (I)	Beneficial Ownership			
					Code	v	Amount		Price			(1150.4)			
Class A Common S	D41-		11/20/2012	1	1 (1)		4.250		0.40	12.244					

Class A Common Stock	11/20/2013	M ⁽¹⁾	4,250	Α	\$2.46	13,244	D	
Class A Common Stock	11/20/2013	S ⁽¹⁾	4,250	D	\$15	8,994	D	
Class A Common Stock	11/20/2013	M ⁽¹⁾	4,666	Α	\$7.8	13,660	D	
Class A Common Stock	11/20/2013	S ⁽¹⁾	4,666	D	\$15	8,994	D	
Class A Common Stock						1,205.353	Ι	by 401(k)

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)	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 Options (Right to Buy)	\$2.46	11/20/2013		M ⁽¹⁾			4,250	02/12/2012	02/12/2019	Class A Common Stock	4,250	\$0	0	D	
Stock Options (Right to Buy)	\$7.8	11/20/2013		M ⁽¹⁾			4,666	08/19/2012	05/25/2014	Class A Common Stock	4,666	\$0	0	D	

Explanation of Responses:

1. The stock option exercises and sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on May 13, 2013.

/s/ Christine A. Ness, by power of 11/21/2013

attorney ** Signature of Reporting Person

erson 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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