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 Addres		rson*		ionship of Reporting Pers all applicable) Director	on(s) to Issuer 10% Owner					
(Last) C/O GENWORT	(First) TH FINANCIA	(Middle) L, INC.	3. Date of Earliest Transaction (Month/Day/Year) 02/09/2014	X	Officer (give title below) EVP - Chief Inves	Other (specify below)				
6620 WEST BR	OAD ST		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi	dual or Joint/Group Filing	· · · · /				
(Street) RICHMOND	VA	23230		X	Form filed by One Rep Form filed by More that	orting Person n One Reporting Person				
(City)	(State)	(Zip)								
	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)	Transaction Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			Securities Beneficially Owned	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership
				Code	v	Amount	(A) or (D)	Price	(Instr. 3 and 4)		(Instr. 4)
Cl	ass A Common Stock	02/09/2014		М		1,333	Α	(1)	23,768	D	
Cl	ass A Common Stock	02/09/2014		F		525	D	\$15.38	23,243	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		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)		
Restricted Stock Units	(1)	02/09/2014		М			1,333	(2)	(2)	Class A Common Stock	1,333	\$ <u>0</u>	1,333	D	

Explanation of Responses:

1. Restricted Stock Units settle in Class A Common Stock on a 1:1 basis.

2. Restricted Stock Units vested and converted to Class A Common Stock on 2/9/2014.

/s/ Christine A. Ness, by power of 02/11/2014 attorney

** 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.

OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

OMB APPROVAL