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 <sup>*</sup><br>EVANGEL LORI M |  |       |  | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>GENWORTH FINANCIAL INC</u> [ GNW ] |           |                |  |               |                            | tionship of Reporting F<br>all applicable)<br>Director  | Person(s) to Issue  |   |  |  |
|--|--|-------|--|---|-----------|----------------|--|---------------|----------------------------|---|---|---|--|--|
| (Last) (First) (Middle)<br>C/O GENWORTH FINANCIAL, INC.                |  |       |  | ate of Earliest Transact<br>0/2014  | ion (Mont | h/Day/         | Year)  | x             | Officer (give title below) | Other (specify<br>below)<br>Risk Officer  |   |   |  |  |
| 6620 WEST BROAD STREET   |  |       |  | 4. If Amendment, Date of Original Filed (Month/Day/Year)                                    |           |                |  |               | 6. Indiv                   | 6. Individual or Joint/Group Filing (Check Applicable Line)<br>X Form filed by One Reporting Person |   |   |  |  |
| (Street)<br>RICHMOND   | VA   | 23230 |  |   |           |                |  |               |                            | Form filed by More than One Report  |   | ng Person   |  |  |
| (City)   | (State)  | (Zip) |  |   |           |                |  |               |                            |   |   |   |  |  |
|  | Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |       |  |   |           |                |  |               |                            |   |   |   |  |  |
| Date   |  |       | 2. Transaction<br>Date<br>(Month/Day/Y | Execution Date,   |           | ction<br>nstr. | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 an |               |                            | 5. Amount of<br>Securities<br>Beneficially Owned<br>Following Reported<br>Transaction(s)            | 6. Ownership<br>Form: Direct (D)<br>or Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |  |
|  |  |       |  |   | Code      | v              | Amount   | (A) or<br>(D) | Price                      | (Instr. 3 and 4)  |   | ,   |  |  |

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

| 1. Title of<br>Derivative<br>Security (Instr.<br>3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transac<br>Code (In<br>8) |   | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of<br>(D) (Instr. 3, 4<br>and 5) |     | 6. Date Exerce<br>Expiration D<br>(Month/Day/ <sup>1</sup> | ate                | 7. Title and Amount of<br>Securities Underlying<br>Derivative Security (Instr.<br>3 and 4) |                                     | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|---------------------------------|---|--|-----|--|--------------------|--|-------------------------------------|---|--|--|--|
|   |   |  |   | Code                            | v | (A)  | (D) | Date<br>Exercisable  | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of Shares |   | Transaction(s)<br>(Instr. 4)   |  |  |
| Stock Settled<br>SARs                               | \$15.23   | 02/20/2014                                 |   | A                               |   | 64,000   |     | (1)  | 02/20/2024         | Class A<br>Common<br>Stock   | 64,000                              | \$0   | 64,000   | D  |  |

## Explanation of Responses:

1. The SARs vest in four equal annual installments beginning on February 20, 2015. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

## /s/ Christine A. Ness, by power of 02/24/2014

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.

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