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 Address of Reporting Person <sup>*</sup> <u>Klein Martin P</u>						2. Issuer Name <b>and</b> 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 GENWO	(First	) ( ANCIAL, INC.	(Middle)			3. Date of Earliest Transaction (Month/Day/Year) 02/20/2014								Officer (give title below) EVP & Chief F		Financ	Other (specify below)		
6620 WEST BROAD STREET						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 232			23230									Form filed by More than One Reportin			ng Person				
(City)	(State	e) (.	(Zip)																
		Т	Fable I - Nor	n-Deriv	ative	Securiti	es Acc	quired, I	Disp	osed o	f, or E	Benefi	cially Ow	ned					
1. Title of Security (Instr. 3) 2. Tran Date (Month					action Day/Year	Execution if any	2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction Disp Code (Instr.			quired (/ ) (Instr. 3	A) or , 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		7. Nature of Indirect Beneficial Ownership	
							Code	v	Amount		(A) or (D)	Price	(Instr. 4)						
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)	tive Conversion Date Execution Date, Tra			e, Tran Cod	insaction Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)			Securi			8. Price of Derivative Security (Instr. 5)	9. Numbe derivative Securitie Beneficia Owned Following Reported Transacti (Instr. 4)	e s ally g	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		

Explanation of Responses:

\$15.23

Stock Settled

SARs

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.

Date Exercisable

(1)

Expiration

02/20/2024

Title

Class A

Commor

Stock

Date

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

Number of

130,000

\$<mark>0</mark>

130,000

Date

D

Shares

\*\* Signature of Reporting Person

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).

02/20/2014

\*\* 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.

(A) v

130,000

Code

А

(D)

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

OMB APPROVAL