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

in traine and i daneee of treperang i ereen		on*	2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [GNW]		ionship of Reporting Pers all applicable) Director	on(s) to Issuer 10% Owner			
(Last) C/O GENWORT	Last) (First) (Middle) C/O GENWORTH FINANCIAL, INC.		3. Date of Earliest Transaction (Month/Day/Year) 02/18/2017	x	Officer (give title below) EVP & Chief Fina	Other (specify below)			
6620 WEST BROAD STREET			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi X	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person				
(Street) RICHMOND	VA	23230			Form filed by More that	n One Reporting Person			
(City)	(State)	(Zip)							
		Table I - Nor	-Derivative Securities Acquired, Disposed of, or Benefi	cially Ow	ned				

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transac Code (Ir 8)		4. Securities Ac Disposed Of (D			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		
Class A Common Stock	02/18/2017		М		60,000	Α	(1)	87,292	D	
Class A Common Stock	02/18/2017		F		20,397(2)	D	\$4.01	66,895	D	
Class A Common Stock	02/20/2017		М		1,062	Α	(1)	67,957	D	
Class A Common Stock	02/20/2017		F		352(3)	D	\$4.01	67,605	D	
Class A Common Stock								1,262.8919	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)		
Restricted Stock Units	(1)	02/18/2017		М			60,000	(4)	(4)	Class A Common Stock	60,000	\$0.00	120,000	D	
Restricted Stock Units	(1)	02/20/2017		М			1,062	(5)	(5)	Class A Common Stock	1,062	\$0.00	1,062	D	

Explanation of Responses:

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

2. The Company withheld shares of common stock to satisfy the tax withholding obligation for the Reporting Person's Restricted Stock Units that vested on February 18, 2017.

3. The Company withheld shares of common stock to satisfy the tax withholding obligation for the Reporting Person's Restricted Stock Units that vested on February 20, 2017.

4. Restricted Stock Units vested and converted to Class A Common Stock on February 18, 2017.

5. Restricted Stock Units vested and converted to Class A Common Stock on February 20, 2017.

Remarks:

/s/ David F. Kurzawa, by power of 02/21/2017

** 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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