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

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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 * Conrad G Kent | | | | | 2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [GNW] | | | | | | | | | tionship of R all applicab Director | | Person | (s) to Issuer 10% Ov | vner |
|--|---|--|--|---|--|--|--|---|---|--|--|----|---|---|----------------------------|---|--|---------------------------------------|
| (Last) | (First | | (Middle) | | | | 3. Date of Earliest Transaction (Month/Day/Year) 09/30/2017 | | | | | | | | Officer (give title below) | | Other (specify below) | |
| C/O GENWORTH FINANCIAL, INC. 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 Form filed by More than One Reporting Person | | | | | |
| (Street) RICHMOND (City) | VA | | 23230 Zip) | | | | | | | | | | | Form file | a by More | than C | ne Reportin | g Person |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | | | | | | | |
| Date | | | | 2. Transacti Date (Month/Day | | 2A. Deemed Execution Date, if any (Month/Day/Year) | | 3. Transaction Code (Instr. 8) | | 4. Securities Acquired (A) o Disposed Of (D) (Instr. 3, 4 a | | | Following | | | : Direct (D) lirect (I) . 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | | | | | Code | v | Amount | Amount (A) or (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 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 an Expiration Date (Month/Day/Year) | |) | 7. Title and Amount Securities Underlyin Derivative Security (3 and 4) | | ying | ng Derivative | | er of e s ally g l ion(s) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | Beneficial Ownership (Instr. 4) |
| | | | | Code | v | (A) | (D) | Date Exercisab | | Expiration Date | Title | Nu | nount or Imber of Iares | (Instr. 4 | | 1011(3) | | |
| Deferred Stock Units | (1) | 09/30/2017 | | A | | 9,162.13 | | (1) | T | (1) | Class A Common Stock | 9, | ,162.13 | (2) | 99,960. | 014 | D | |

Explanation of Responses:

1. Deferred Stock Units become payable in shares of Class A Common Stock beginning one year after termination of service as a director. The Reporting Person has previously elected to receive such amount in a single payment or in payments spread out for up to 10 years.

2. The number of Deferred Stock Units acquired represents a portion of the Reporting Person's annual retainer fee and was based on a price of \$3.7655 per share of Class A Common Stock.

Remarks:

/s/ David F. Kurzawa, by power of 10/02/2017 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.