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

2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [GNW]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
3. Date of Earliest Transaction (Month/Day/Year) 02/03/2018	Director 10% Owner X Officer (give title below) Other (specify below) EVP & Chief Risk Officer				
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				
	GENWORTH FINANCIAL INC [GNW] 3. Date of Earliest Transaction (Month/Day/Year) 02/03/2018				

1. Title of Security (Instr. 3) 2. Transaction 2A Deemed 3 4. Securities Acquired (A) or 5 Amount of 6. Ownership 7 Nature of Disposed Of (D) (Instr. 3, 4 and 5) Form: Direct (D) Execution Date, Transaction Securities Indirect Date (Month/Day/Year) Beneficial if any (Month/Day/Year) Code (Instr. Beneficially Owned or Indirect (I) (Instr. 4) 8) Following Reported Ownership Transaction(s) (Instr. 4) (A) or (Instr. 3 and 4) Code Price v Amount (D) Μ Class A Common Stock 02/03/2018 1,625 Α (1) 45,389 D 02/03/2018 F 576(2) \$3.05 44,813 D Class A Common Stock D

Table II Derivative Securities Acquired Dispaced of an Paneficially 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. 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)	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)	02/03/2018		М			1,625	(3)	(3)	Class A Common Stock	1,625	\$0.00	0	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 3, 2018.

3. Restricted Stock Units vested and converted to Class A Common Stock on February 3, 2018.

Remarks:

/s/ David F. Kurzawa, by power of <u>02/05/2018</u> 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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