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 Groh Kelly L	s of Reporting Person*			Name and Ticker of VORTH FIN	• •		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
(Last) C/O GENWORT	(First) H FINANCIAL, IN	(Middle)	3. Date o 02/20/2	f Earliest Transaction 018	on (Month/Day	Year)	x	Director Officer (give title below) EVP & Chief		specify		
6620 WEST BROAD STREET			4. If Ame	ndment, Date of Or	iginal Filed (Mo	onth/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street) RICHMOND	VA	23230						Form filed by One		ng Person		
(City)	(State)	(Zip)										
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
1. Title of Security (Instr. 3) 2. Tran				2A. Deemed	3.	4. Securities Acquired (A) of		5. Amount of	6. Ownership	7. Nature of		

Execution Date, Transaction Disposed Of (D) (Instr. 3, 4 and 5) Securities Form: Direct (D) Indirect Date (Month/Day/Year) if any (Month/Day/Year) Beneficial Beneficially Owned or Indirect (I) (Instr. 4) Code (Instr. Following Reported 8) Ownership Transaction(s) (Instr. 4) (A) or (Instr. 3 and 4) Code v Price Amount (D) Μ 70,291 Class A Common Stock 02/20/2018 1,062 Α (1) D Class A Common Stock 02/20/2018 F 376(2) \$2.96 D D 69,915 Class A Common Stock 1,275.498 I 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		3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transac Code (Ir 8)			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)	02/20/2018		М			1,062	(3)	(3)	Class A Common Stock	1,062	\$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 20, 2018.

3. Restricted Stock Units vested and converted to Class A Common Stock on February 20, 2018.

Remarks:

/s/ David F. Kurzawa, by power of 02/21/2018 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.

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