SEC Form 4

1

3)

Units

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 - 6 4 0 40

			01 380		vestment Comp	any Act of 1940					
1. Name and Address of Reporting Person [*] HIGGINS MELINA E				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) X Director 10% Owner			
(Last)	, , , , , ,			3. Date of Earliest Transaction (Month/Day/Year) 06/29/2018				Director 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				
(Street)								Form filed by More	than One Reporti	ng Person	
RICHMOND	VA	23230									
(City)	(State)	(Zip)									
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned											
Date			2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	

(A) or (D) (Instr. 3 and 4) Code v Amount Price Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 3. Transaction Date 3A. Deemed Execution Date, 8. Price of Derivative 1. Title of 5. Number of 6. Date Exercisable and 7. Title and Amount of 9. Number of 10 11. Nature Derivative Conversion Transaction Derivative Expiration Date Securities Underlying derivative Ownership of Indirect Security (Instr. or Exercise (Month/Dav/Year if any (Month/Day/Year) Code (Instr. 8) Securities (Month/Day/Year) Derivative Security (Instr. Security Securities Form: Beneficial Direct (D) Price of Acquired (A) or 3 and 4) (Instr. 5) Beneficially Ownership Disposed of (D) (Instr. 3, 4 and Derivative Owned Following or Indirect (I) (Instr. 4) (Instr. 4) Security **Š**) Reported Transaction(s Amount or (Instr. 4) Number of Date Expiration Code v (A) (D) Exercisable Date Title Shares Class A Deferred Stock

Explanation of Responses:

(1)

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.

(1)

Common

Stock

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 \$4.3425 per share of Class A Common Stock.

8,175.014

Remarks:

/s/ Michael J. McCullough, by 07/03/2018 power of attorney

8,175.014

** Signature of Reporting Person

118,038.366

D

Date

Transaction(s)

(2)

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).

06/29/2018

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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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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(Instr. 4)