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

OMB Number: Estimated average burden hours per response:

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 <sup>*</sup> <u>PERRY DEBRA J</u>					2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [GNW]     3. Date of Earliest Transaction (Month/Day/Year)									ionship of Reporting Person(s) to Issuer all applicable) Director 10% Owner			vner	
(Last)	(Firs	,		09/28/2018									Officer (g below)	ive title		Other (s below)	pecify	
C/O GENWORTH FINANCIAL, INC. 6620 WEST BROAD STREET					4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Indiv	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 VA (City) (State)			23230 (Zip)	_										Form filed	d by More	than C	one Reportin	g Person
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																		
1. Title of Security (Instr. 3) 2. Tran Date (Month					ction ay/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction Disp Code (Instr.			rities Acq ed Of (D)			Beneficiall Following		Form	mership : Direct (D) lirect (I) . 4)	7. Nature of Indirect Beneficial Ownership
								Code	v	Amount		(A) or (D)	Price	Transaction (Instr. 3 and				(Instr. 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 Expiration Date (Month/Day/Year)			7. Title and Amoun Securities Underlyi Derivative Security 3 and 4)		erlying	8. Price of Derivative Security (Instr. 5)	9. Numbe derivative Securitie Beneficia Owned Following Reported Transact	e s ally g	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisab		xpiration ate	Title	N	Amount or lumber of Shares		(Instr. 4)			
Deferred Stock Units	(1)	09/28/2018		Α		8,119.854		(1)	Γ	(1)	Class Comm Stoc	non 8	8,119.854	(2)	59,724.	.593	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 \$4.372 per share of Class A Common Stock.

### Remarks:

### /s/ David F. Kurzawa, by power of 10/01/2018 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.

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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