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 Addres Schneider Ke	ss of Reporting Pers	son*	2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [ GNW ]		tionship of Reporting Pers all applicable)		
(Last)	(First) (Middle) WORTH FINANCIAL, INC.		3. Date of Earliest Transaction (Month/Day/Year) 02/25/2019	x	Director Officer (give title below) EVP & Chief Ope	10% Owner Other (specify below) rating Officer	
6620 WEST BR (Street) RICHMOND (City)	(Street) RICHMOND VA 23230		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi X	lividual or Joint/Group Filing (Check Applicable Line) Form filed by One Reporting Person Form filed by More than One Reporting Person		
		Table I - Non	-Derivative Securities Acquired, Disposed of, or Benefi	cially Ow	ned		

1. Title of Security (Instr. 3)	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)			Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Class A Common Stock	02/25/2019		М		121,666	Α	(1)	421,945	D	
Class A Common Stock	02/25/2019		F		36,242(2)	D	<b>\$4.0</b> 1	385,703	D	

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)	Code (In	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and		ate	7. Title and An Securities Und Derivative Sec 3 and 4)	derlying	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code	v	5) (A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Reported Transaction(s) (Instr. 4)		
Restricted Stock Units	(1)	02/25/2019		М			121,666	(3)	(3)	Class A Common Stock	121,666	\$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 25, 2019.

3. Restricted Stock Units vested and converted to Class A Common Stock on February 25, 2019.

## Remarks:

## /s/ David F. Kurzawa, by power of <u>02/27/2019</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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