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

in Raine and Address of Reporting Poreen				2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [GNW ]								5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
Harrison Pamela M													Director			10% Ov	vner	
(Last)	(First	) (	(Middle)		3. Date of 05/16/20		INANCIAL INC [ GNW ] (Check all applicable)   iaction (Month/Day/Year) (Check all applicable)   Director 10% Owner   X Officer (give title below) Other (specify below)   FOP - Human Resources 6. Individual or Joint/Group Filing (Check Applicable Line)   X Form filed by One Reporting Person Form filed by More than One Reporting Person   Kequired, Disposed of, or Beneficially Owned 5. Amount of Securities Beneficially Owned   te, 3. Disposed of (D) (Instr. 3, 4 and 5) 5. Amount of Securities Beneficially Owned 6. Ownership Form: Direct (D) or Indirect (D)											
C/O GENWORTH FINANCIAL, INC.													ΕV	P - Hum	an Re	sources		
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)					
(Street)												X						
RICHMOND	VA VA							ne Reportin	g Person									
(City)	(State	;) (	(Zip)															
		1	Fable I - Noi	n-Deriv	vative S	ecurities Acq	uired,	Disp	osed o	f, or l	Benefic	ially Ow	ned					
Date				saction /Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transad Code (I						Securities Beneficiall Following	y Owned Reported	Form: or Ind	Direct (D) lirect (I)	Indirect Beneficial Ownership		
							Code	v	Amount			Price					(Instr. 4)	
						urities Acqui ls, warrants, o							ed					
1. Title of Derivative Security (Instr.	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date if any		ansaction de (Instr.	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date Securities Underly (Month/Day/Year) Derivative Securit			rlying	8. Price of 9. Number Derivative derivative Security Securities		•	10. Ownership Form:	11. Nature of Indirect Beneficial			

Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative Security	Date (Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Transaction Code (Instr. 8)		Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		Expiration Date (Month/Day/Year)		Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	Securities Beneficially Owned Following Reported		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)	05/16/2019		A		101,352		(2)	(2)	Class A Common Stock	101,352	\$0.00	101,352	D	

#### Explanation of Responses:

1. Restricted Stock Units settle in Class A Common Stock on a 1:1 basis.

2. Restricted Stock Units vest and convert to Class A Common Stock in three equal annual installments beginning on May 16, 2020.

#### Remarks:

# /s/ David F. Kurzawa, by power of <u>05/17/2019</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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