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 of Reporting Person *<br><u>Pehota Joseph</u> |   |  |   |              | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>GENWORTH FINANCIAL INC</u> [ GNW ] |  |  |        |   |      |   |                                   |   |                                     | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>Director 10% Owner |  |   |  |   |  |
|---|---|--|---|--------------|---|--|--|--------|---|------|---|-----------------------------------|---|-------------------------------------|--|--|---|--|---|--|
| (Last) (First) (Middle)<br>C/O GENWORTH FINANCIAL, INC.           |   |  |   |              | 3. Date of Earliest Transaction (Month/Day/Year)<br>05/25/2004                              |  |  |        |   |      |   |                                   | x   | Officer (give title Other (speci    |  |  |   |  |   |  |
| 6620 WEST BROAD STREET  |   |  |   |              |   | 4. If Amendment, Date of Original Filed (Month/Day/Year) |  |        |   |      |   |                                   |   |                                     | 6. Individual or Joint/Group Filing (Check Applicable Line)                                      |  |   |  |   |  |
| (Street)<br>RICHMOND VA 23230                                     |   |  |   |              |   |  |  |        |   |      |   |                                   |   | X                                   | X Form filed by One Reporting Person<br>Form filed by More than One Reporting Person             |  |   |  |   |  |
| (City)  | (State  | ə) (i                                      | Zip)  |              |   |  |  |        |   |      |   |                                   |   |                                     |  |  |   |  |   |  |
|   |   | т  | able I - No   | n-Deriv      | /ativ   | /e S   | ecuritie   | es Acq | juired, C   | )isp | osed of   | f, or l                           | Benefi  | cially Ov                           | ned  |  |   |  |   |  |
| Date  |   |  |   |              | Transaction<br>te<br>onth/Day/Year)   |  | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year)  |        | 3.<br>Transaction<br>Code (Instr.<br>8)                 |      | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 a |                                   |   |                                     | 5. Amount<br>Securities<br>Beneficially<br>Following   | y Owned<br>Reported  | 6. Ownership<br>Form: Direct (D)<br>or Indirect (I)<br>(Instr. 4) |  | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership |  |
|   |   |  |   |              |   |  |  |        | Code  | v    | Amount  |                                   | (A) or<br>(D)   | Price                               | Transaction(s)<br>(Instr. 3 and 4)   |  |   |  | (Instr. 4)  |  |
| Class A Common Stock 05/  |   |  |   |              |   | 25/2004  |  |        | Р   |      | 200   | )                                 | Α   | \$19.4                              | 20   | 200  |   | D  |   |  |
|   |   |  | Table II - I  |              |   |  |  |        | red, Dis<br>options                                     |      |   |                                   |   |                                     | ed   |  |   |  |   |  |
| 1. Title of<br>Derivative<br>Security (Instr.<br>3)               | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date<br>if any<br>(Month/Day/Ye | Code (Instr. |   |  | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of<br>(D) (Instr. 3, 4<br>and 5) |        | 6. Date Exercisal<br>Expiration Date<br>(Month/Day/Year |      | Securiti  |                                   | le and Amount of<br>rities Underlying<br>ative Security (Instr.<br>I 4) |                                     | 8. Price of<br>Derivative<br>Security<br>(Instr. 5)  | 9. Numbe<br>derivative<br>Securitie<br>Beneficia<br>Owned<br>Following<br>Reported | e<br>s<br>Illy<br>g   | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | Beneficial<br>Ownership<br>(Instr. 4)               |  |
|   |   |  |   | Cod          | de  | v  | (A)  | (D)    | Date<br>Exercisab                                       |      | Expiration<br>Date  | Title                             |   | Amount<br>or<br>Number<br>of Shares |  | Transacti<br>(Instr. 4)  | ion(s)  |  |   |  |
| Stock Option<br>(right to buy)                                    | \$27.9518   | 05/25/2004                                 |   | 1            | 4   |  | 3,327  |        | 09/26/200   | 5 0  | )7/26/2011  | Co                                | ass A<br>mmon<br>tock   | 3,327                               | (6)  | 3,327  |   | D  |   |  |
| Stock Option<br>(right to buy)                                    | \$22.6681   | 05/25/2004                                 |   | 1            | 4   |  | 3,327  | 7 (1)  |   | 0    | 09/26/2011 C  |                                   | ass A<br>mmon<br>tock   | 3,327                               | (6)  | 3,327  |   | D  |   |  |
| Stock Option<br>(right to buy)                                    | \$27.0467   | 05/25/2004                                 |   | 1            | 4   |  | 4,696  |        | 09/14/2004 0  |      | 03/14/2010  | Co                                | ass A<br>mmon<br>tock   | 4,696                               | (6) 4,696  |  | 6   | D  |   |  |
| Stock Option<br>(right to buy)                                    | \$17.2822   | 05/25/2004                                 |   | 1            | 4   |  | 6,261  |        | (2)   | C    | 09/13/2012  | Co                                | ass A<br>mmon<br>tock   | 6,261                               | (6)  | 6,26   | 1   | D  |   |  |
| Restricted Stock<br>Unit  | (3)   | 05/25/2004                                 |   | 1            | 4   |  | 15,652   |        | 05/25/200   | 5    | (4)   | (4) Class A<br>Common<br>Stock 1. |   | 15,652                              | (6)  | 15,652   |   | D  |   |  |
| Stock Settled<br>SAR (right to<br>buy)                            | \$19.5  | 05/25/2004                                 |   | 1            | 1   |  | 50,000   |        | (5)   | 0    | 05/25/2014  | Co                                | ass A<br>mmon<br>tock   | 50,000                              | (7)  | 50,00  | 10  | D  |   |  |

Explanation of Responses:

1. Vests 50% - 9/26/04; 50% - 9/26/06.

2. Vests in 25% annual increments beginning on 9/13/04.

3.1:1.

4. No expiration date.

5. Vests in 25% annual increments beginning on 5/25/06.

6. Replaces cancelled General Electric Company award.

7. Not applicable.

/s/ Richard J. Oelhafen Jr.,

<u>Attorney-in-fact</u> \*\* Signature of Reporting Person 05/25/2004

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.

