SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL OMB Number Estimated average burder 0.5 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 [*] Farney Matthew D			2. Date of Event Re Statement (Month/ 04/15/2016		3. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [GNW]					
(Last) (First) (Middle)					4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify below) below) Vice President and Controller			5. If Amendment, Date of Original Filed (Month/Day/Year)		
C/O GENWORTH FINANCIAL, INC. 6620 WEST BROAD STREET (Street) RICHMOND VA 23230			_				6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City)	(State)	(Zip)	—							
			Table I - No	n-Deriva	ative Securities Beneficially	Owned				
1. Title of Security (Instr. 4)					2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct Indirect (I) (In	(D) or 5)		Beneficial Ownership (Instr.	
Class A Common Stock					2,339	D				
					ve Securities Beneficially O ants, options, convertible s					
1. Title of Derivative Security (Instr. 4)			2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise	(D) or	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
			Date Exercisable	Expiration Date	n Title	Amount or Number of Shares	Price of Derivative Security	Indirect (I) (Instr. 5)		
Restricted Stock Units (RSUs)			(1)	(1)	Class A Common Stock	900	(2)	D		
Restricted Stock Units (RSUs)			(3)	(3)	Class A Common Stock	1,225	(2)	D		
Restricted Stock Units (RSUs)			(4)	(4)	Class A Common Stock	4,350	(2)	D		
Stock Settled SARs			(5)	02/20/2024	4 Class A Common Stock	7,000	15.23	D		
Stock Settled SARs			(6)	02/15/2023	3 Class A Common Stock	8,250	9.06	D		
Stock Settled SARs			(7)	02/14/2022	2 Class A Common Stock	4,500	8.88	D		
Stock Settled SARs			(8)	02/09/2021	Class A Common Stock	5,000	12.75	D		

Explanation of Responses:

1. Vests and converts to Class A Common Stock in equal installments on each of 02/20/2017 and 02/20/2018.

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

3. Vests and converts to Class A Common Stock on 02/15/2017.

4. Vests and converts to Class A Common Stock in equal installments on each of 03/20/2018 and 03/20/2019.

5. Vested in equal annual installments on each of 02/20/2015 and 02/20/2016. Remaining award vests in equal annual installments on each of 02/20/2017 and 02/20/2018. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

6. Vested in equal annual installments on each of 02/15/2014, 02/15/2015 and 02/15/2016. Remaining award vests on 02/15/2017. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

7. Vested in equal annual installments on each of 02/14/2013, 02/14/2014, 02/14/2015 and 02/14/2016. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

8. Vested in equal annual installments on each of 02/09/2012, 02/09/2013, 02/09/2014 and 02/09/2015. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

Remarks:

/s/ David F. Kurzawa, by power of 04/20/2016 attorney

** Signature of Reporting Person

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 5 (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.

3235-0104

Date

SECTION 16 POWER OF ATTORNEY

Know all by these present, that the undersigned hereby constitutes and appoints each of David F. Kurzawa, Michael J. McCullough and Christine A. Ness, signing singly, the undersigned's true and lawful attorney-in-fact to:

(1) prepare, execute in the undersigned's name and on the undersigned's behalf, and submit to the U.S. Securities and Exchange Commission (the "SEC") a Form ID, including amendments thereto, and any other documents necessary or appropriate to obtain codes and passwords enabling the undersigned to make electronic filings with the SEC of reports required by Section 16(a) of the Securities Exchange Act of 1934 or any rule or regulation of the SEC;

(2) execute for and on behalf of the undersigned, in the undersigned's capacity as an officer and/or director of Genworth Financial, Inc. (the "Company"), Forms 3, 4, and 5 in accordance with Section 16(a) of the Securities Exchange Act of 1934 and the rules thereunder;

(3) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Form 3, 4, or 5 and timely file such form with the Securities and Exchange Commission and any stock exchange or similar authority; and

(4) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934.

This Power of Attorney supersedes and replaces any prior power of attorney and shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4, and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked without notice for an individual attorney-in-fact upon that person's termination of employment with the Company and any affiliate thereof or by the undersigned in a signed writing delivered to the Company.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 14th day of April, 2016.

/s/ Matthew D. Farney
Matthew D. Farney