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

IIP OMB Number: Estimated average burder 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 * HIGGINS MELINA E					2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [ GNW ]									tionship of R all applicabl Director		Person	s) to Issuer 10% Ov	vner
(Last)		(First) (Middle)				3. Date of Earliest Transaction (Month/Day/Year) 06/30/2020								Officer (g below)	Officer (give title below)		Other (specify below)	
C/O GENWORTH FINANCIAL, INC. 6620 WEST BROAD STREET					4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Indiv X	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) <u>RICHMOND</u> VA (City) (State)			23230 (Zip)	)										Form filed	d by More	than C	ne Reportin	g Person
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																		
1. Title of Security (Instr. 3) Date (Month					ction ay/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction Disp Code (Instr.			rities Ac ed Of (D)		A) or 3, 4 and 5)			Form	nership : Direct (D) lirect (I) . 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
								Code	v	Amount	t	(A) or (D)	Price	(Instr. 3 and				(1150.4)
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 and Expiration Date (Month/Day/Year)			7. Title and Amount of Securities Underlying Derivative Security (Ins 3 and 4)			8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s)		10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
				Code	v	(A)		Date Exercisabl		xpiration ate	Title		Amount or Number of Shares		(Instr. 4)			
Deferred Stock Units	(1)	06/30/2020		A		12,093.34		(1)		(1)	Clas Com	mon	12,093.34	(2)	178,779	0.402	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 \$2.9355 per share of Class A Common Stock.

Remarks:

## /s/ David F. Kurzawa, by power of 07/01/2020

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.

OMB APPROVAL
OMB Number: 3235-0287
Estimated average burden
hours per response: 0.5