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). Ш

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 [*] Gupta Rohit						2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [GNW]									5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner				
(Last) (First) (Middle)						3. Date of Earliest Transaction (Month/Day/Year) 05/26/2021									Officer (g below)	ive title		Other (specify below)	
C/O GENWORTH FINANCIAL, INC.																EVP	- Enac	ot	
6620 WEST BROAD STREET					4. lf A	4. If Amendment, Date of Original Filed (Month/Day/Year)									 Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person 				
(Street)															Form filed by More than One Reporting Person				
RICHMOND VA 23230															T OTTT MC			ne reportin	g r erson
(City)	(State)	(Zi	p)																
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																			
Date					e onth/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)				4. Securitie Of (D) (Inst) or Disposed	5. Amount Securities Beneficial Following Transactio	y Owned Reported	Form:	nership : Direct (D) lirect (I) . 4)	7. Nature of Indirect Beneficial Ownership
								Code	v	Amount		(A) or (D)	Price	(Instr. 3 an				(Instr. 4)	
Class A Common Stock 05/26					6/2021	/2021			S		60,000		D	\$4.2077 ⁽¹⁾	90,691			D	
Class A Common Stock															7,152	7,152.191		Ι	by 401(k)
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)	Execution Date, if any		4. Transaction Code (Instr. 8)		Derivat Securit Acquir or Disp	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		e Exer ation D h/Day/		7. Title and Am Securities Unde Derivative Secu (Instr. 3 and 4)		nderlying ecurity	8. Price of Derivative Security (Instr. 5)	9. Numbe derivative Securities Beneficia Owned Following Reported Transacti	e s illy g	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
					Code	v	(A)	(D)	Date	isable	Expiration Date	Tit	tle	or Number of Shares		(Instr. 4)			

Explanation of Responses:

1. Price indicated is the weighted average sales price as a result of a series of broker-assisted transactions ranging in price from \$4.18 to \$4.23 per share. The reporting person undertakes to provide full information regarding the number of shares purchased at each separate price within the range upon request by the SEC staff, the issuer, or any security holder of the issuer.

Remarks:

/s/ David F. Kurzawa, by power of 05/27/2021 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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