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

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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 <sup>*</sup><br><u>RESTREPO ROBERT P JR</u>  |   |  |  |       |  | 2. Issuer Name and Ticker or Trading Symbol <u>GENWORTH FINANCIAL INC</u> [ GNW ] |  |       |   |      |  |      |                           |   | ationship of F<br>all applicab<br>Director  |   | Person(  | s) to Issuer<br>10% Ov   |   |
|--|---|--|--|-------|--|---|--|-------|---|------|--|------|---------------------------|---|---|---|--|--|---|
| (Last) (First) (Middle)  |   |  |  |       | 3. Date of Earliest Transaction (Month/Day/Year)<br>02/04/2022 |   |  |       |   |      |  |      |                           | Officer (give title below)                          |   | Other (s<br>below)                                    |  | specify  |   |
| C/O GENWORTH FINANCIAL, INC.<br>6620 WEST BROAD STREET   |   |  |  |       | 4. If Amendment, Date of Original Filed (Month/Day/Year)       |   |  |       |   |      |  |      | 6. Indiv<br>X             | , , ,   |   |   |  |  |   |
| (Street)   |   |  |  |       |  |   |  |       |   |      |  |      |                           |   | Form filed by More than One Reporting   |   |  | g Person   |   |
| RICHMOND VA 23230  |   |  |  |       |  |   |  |       |   |      |  |      |                           |   |   |   |  |  |   |
| (City)   | (State)   | (Zi  | p)   |       |  |   |  |       |   |      |  |      |                           |   |   |   |  |  |   |
|  |   | Та   | ble I - No   | n-Dei | rivative   | e Se  | curitie  | s Acq | uired,                                  | Disp | osed of,   | , or | Benefi                    | cially Ow   | /ned  |   |  |  |   |
| Date   |   |  |  |       | Date<br>Month/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 of<br>Securities<br>Beneficially Owned<br>Following 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 02/0  |   |  |  |       |  | 04/2022   |  |       | Р                                       |      | 50,000   |      | Α                         | \$3.933(1)  | 50,0  | 50,000  |  | D  |   |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned         (e.g., puts, calls, warrants, options, convertible securities) |   |  |  |       |  |   |  |       |   |      |  |      |                           |   |   |   |  |  |   |
| 1. Title of<br>Derivative<br>Security (Instr. 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 D<br>if any<br>(Month/Day/ | ate,  | Code (Instr.   |   | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D) (Instr. 3, 4<br>and 5) |       | 6. Date<br>Expirati<br>(Month/          |      | 7. Title and Amou<br>Securities Under<br>Derivative Securi<br>(Instr. 3 and 4) |      | iderlying<br>curity<br>!) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | e derivativ<br>Securitie<br>Beneficia<br>Owned<br>Following<br>Reported<br>Transact | e Owne<br>s Form<br>ally Direc<br>or Inc<br>g (I) (In | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |   |
|  |   | 1  |  |       |  |   |  | 1     |   |      |  | 1    |                           | Amount  |   | (Instr. 4)  |  |  |   |

## Explanation of Responses:

1. Price indicated is the weighted average purchase price as a result of a series of broker-assisted transactions ranging from \$3.900 to \$3.975 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.

(D)

Date

Exercisable

Remarks:

## /s/ David F. Kurzawa, by power of 02/07/2022

attorney

Title

Expiration

Date

\*\* Signature of Reporting Person Date

Number

of Shares

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).

Code v (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.