

GENWORTH FINANCIAL INC  
Form 4  
November 08, 2013

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL  
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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 OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Pehota Joseph

2. Issuer Name and Ticker or Trading Symbol  
GENWORTH FINANCIAL INC  
[GNW]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/06/2013

\_\_\_ Director \_\_\_ 10% Owner  
 Officer (give title below) \_\_\_ Other (specify below)  
SVP - Corporate Development

C/O GENWORTH FINANCIAL, INC., 6620 WEST BROAD STREET  
  
(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_ Form filed by More than One Reporting Person

RICHMOND, VA 23230

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Class A Common Stock	11/06/2013		M		7,000	A	\$ 7.8 25,943
Class A Common Stock	11/06/2013		D		3,742	D	\$ 14.59 22,201
Class A Common Stock	11/06/2013		F		1,110	D	\$ 14.59 21,091
Class A Common Stock	11/06/2013		M		8,166	A	\$ 7.8 29,257

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Common Stock									
Class A Common Stock	11/06/2013		D	4,365	D	\$ 14.59	24,892	D	
Class A Common Stock	11/06/2013		F	1,295	D	\$ 14.59	23,597	D	
Class A Common Stock	11/06/2013		M	10,383	A	\$ 7.8	33,980	D	
Class A Common Stock	11/06/2013		D	5,551	D	\$ 14.59	28,429	D	
Class A Common Stock	11/06/2013		F	1,646	D	\$ 14.59	26,783	D	
Class A Common Stock							1,278.818	I	By 401(k) Plan

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

**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 Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Settled SARs	\$ 7.8	11/06/2013		M	7,000	08/19/2012 07/20/2015	Class A Common Stock 7,000
Stock Settled SARs	\$ 7.8	11/06/2013		M	8,166	08/19/2012 08/09/2016	Class A Common Stock 8,166

Stock Settled \$ 7.8 11/06/2013 M 10,383 08/19/2012 07/31/2017 Class A Common Stock 10,383  
SARs

# Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Pehota Joseph C/O GENWORTH FINANCIAL, INC. 6620 WEST BROAD STREET RICHMOND, VA 23230			SVP - Corporate Development	

# Signatures

/s/ Christine A. Ness, by power of attorney 11/08/2013  
\_\_\_\_Signature of Reporting Person Date

# Explanation of Responses:

- \* 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).

## Remarks:

The net shares received by the reporting person for the exercise of stock settled stock appreciation rights are subject to the issuer's repurchase right. Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.