

GENWORTH FINANCIAL INC
Form 4
March 06, 2014

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 *
Sheehan Daniel J IV

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)
03/05/2014

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP - Chief Investment Officer

C/O GENWORTH FINANCIAL, INC., 6620 WEST BROAD ST

(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 | 03/05/2014 | | M | | 5,000 | A | \$ 7.8 |
| | | | | | | | 29,378 |
| Class A Common Stock | 03/05/2014 | | F | | 2,396 | D | \$ 16.278 |
| | | | | | | | 26,982 |
| Class A Common Stock | 03/05/2014 | | F | | 1,267 | D | \$ 16.278 |
| | | | | | | | 25,715 |
| Class A Common Stock | 03/05/2014 | | M | | 35,000 | A | \$ 2.46 |
| | | | | | | | 60,715 |

Common
Stock

| | | | | | | | |
|----------------------------|------------|---|-------|---|--------------|--------|---|
| Class A Common Stock | 03/05/2014 | F | 5,289 | D | \$ 16.279 | 55,426 | D |
|----------------------------|------------|---|-------|---|--------------|--------|---|

| | | | | | | | |
|----------------------------|------------|---|--------|---|--------------|--------|---|
| Class A Common Stock | 03/05/2014 | F | 14,455 | D | \$ 16.279 | 40,971 | D |
|----------------------------|------------|---|--------|---|--------------|--------|---|

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

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 control number.

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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 Options (Right to Buy) | \$ 7.8 | 03/05/2014 | | M | 5,000 | 08/19/2012 05/25/2014 | Class A Common Stock 5,000 |
| Stock Options (Right to Buy) | \$ 2.46 | 03/05/2014 | | M | 35,000 | 02/12/2012 02/12/2019 | Class A Common Stock 35,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Sheehan Daniel J IV C/O GENWORTH FINANCIAL, INC. 6620 WEST BROAD ST RICHMOND, VA 23230 | | | EVP - Chief Investment Officer | |

Signatures

/s/ Christine A. Ness, by power of
attorney

03/06/2014

__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 exercises of stock options are subject to the issuer's 9-month net holding period.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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