SEC Form 4

**FORM 4**

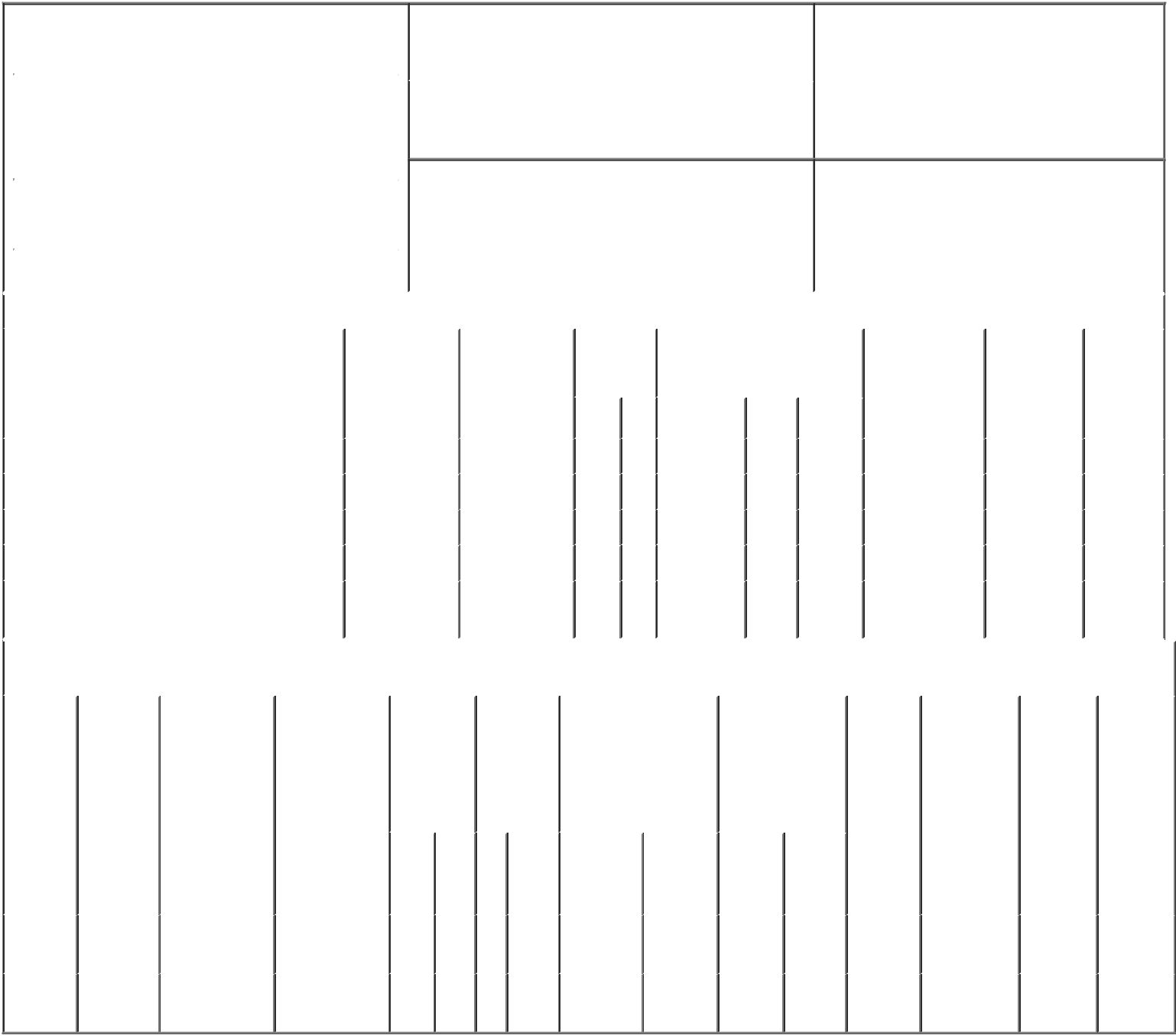
Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).



|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **UNITED STATES SECURITIES AND EXCHANGE COMMISSION** |  |  |  |  |  |
| Washington, D.C. 20549 |  |  |  |  |  |
|  | OMB APPROVAL | | |  |
|  |  |  |
| **STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP** |  |  |  |  |  |
|  | OMB Number: | 3235-0287 |  |  |
|  | Estimated average burden | | |  |
|  |  |  |
| Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 |  | hours per response: | 0.5 |  |  |
|  |  |  |  |  |
|  |  |  |  |  |



or Section 30(h) of the Investment Company Act of 1940



|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Name and Address of Reporting Person\* | | | |  |  | 2. Issuer Name **and** Ticker or Trading Symbol | | |  |
|  | [Groh Kelly L](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001549864) | |  |  |  | [GENWORTH FINANCIAL INC](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001276520) [ GNW ] | | |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  | (Last) | | (First) | (Middle) |  | 3. Date of Earliest Transaction (Month/Day/Year) | | |  |
|  | C/O GENWORTH FINANCIAL, INC. | | | | 02/20/2017 | | |  |  |
|  |  |  |  |  |  |

6620 WEST BROAD STREET

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

|  |  |  |  |
| --- | --- | --- | --- |
|  | Director | 10% Owner |  |
| X | Officer (give title | Other (specify |  |
| below) | below) |  |
|  |  |

EVP & Chief Financial Officer

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | | | | 6. Individual or Joint/Group Filing (Check Applicable | | | | | | | | | |  |
|  | (Street) | |  |  |  |  |  | 02/21/2017 | |  |  |  |  |  |  | Line) | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  | X Form filed by One Reporting Person | | | | | | | | | |  |
|  |  | RICHMOND | | VA |  | 23230 |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Form filed by More than One Reporting | | | | | | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Person |  |  |  |  |  |  |  |
|  |  | (City) |  | (State) | | (Zip) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  | | |  | | |  | | | | | |  | |  |  |  |  |  |  |  |  |
|  |  |  |  |  | **Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned** | | | | | | | | | | | | | | |  |  |  |  |  |  |  |
|  |  | | | | |  | | |  |  |  |  |  | | | |  |  |  | |  | |  |  | |  |
|  | **1. Title of Security (Instr. 3)** | | | | | **2. Transaction** | | | **2A. Deemed** | **3.** | |  | **4. Securities Acquired (A) or** | | | | |  | **5. Amount of** | | **6. Ownership** | | **7. Nature** | | |  |
|  |  |  |  |  |  | **Date** |  |  | **Execution Date,** |  | **Transaction** | | **Disposed Of (D) (Instr. 3, 4 and** | | | | |  | **Securities** | | **Form: Direct** | | **of Indirect** | | |  |
|  |  |  |  |  |  | **(Month/Day/Year)** | | | **if any** |  | **Code (Instr.** |  | **5)** |  |  |  |  |  | **Beneficially** | | **(D) or Indirect** | | **Beneficial** | | |  |
|  |  |  |  |  |  |  |  |  | **(Month/Day/Year) 8)** | | |  |  |  |  |  |  |  | **Owned Following** | | **(I) (Instr. 4)** | | **Ownership** | | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **Reported** |  |  |  | **(Instr. 4)** | | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  | **Code V** |  | **Amount** |  | **(A) or** | **Price** | |  | **Transaction(s)** | |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  | **(D)** |  | **(Instr. 3 and 4)** | |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  | | | | |  | | |  |  |  |  |  |  |  |  |  |  | | |  |  |  |  |  |  |
|  | Class A Common Stock | | | | | 02/20/2017 | | |  |  | M |  | 1,062 |  | A | (1) |  | 28,354 | | |  | D |  |  |  |  |
|  |  | | | | |  | | |  |  |  |  |  |  |  |  |  |  | | |  |  |  |  |  |  |
|  | Class A Common Stock | | | | | 02/20/2017 | | |  |  | F |  | 352(2) |  | D | $4.01 | | 28,002 | | |  | D |  |  |  |  |
|  | Class A Common Stock | | | | | 02/25/2017(3) | | |  |  | M |  | 60,000 | | A | (1) |  | 88,002 | | |  | D |  |  |  |  |
|  | Class A Common Stock | | | | | 02/25/2017(3) | | |  |  | F |  | 20,080(4) | | D | $4.04 | | 67,922 | | |  | D |  |  |  |  |
|  | Class A Common Stock | | | | |  |  |  |  |  |  |  |  |  |  |  |  | 1,261.6894 | | |  | I | by | | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  | 401(k) | | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  | | | | |  | | | | | |  | |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  | **Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned** | | | | | | | | | | | | | |  |  |  |  |  |  |  |
|  |  |  |  |  |  | **(e.g., puts, calls, warrants, options, convertible securities)** | | | | | | | | | | | |  |  |  |  |  |  |  |  |  |
|  |  | |  |  |  |  |  | |  |  | | | |  | | |  |  | |  | |  |  | | |  |
|  | **1. Title of** | | **2.** |  | **3. Transaction** | **3A. Deemed** | **4.** | | **5. Number** | **6. Date Exercisable and** | | | | **7. Title and Amount** | | | | **8. Price of** | | **9. Number of** | | **10.** | **11. Nature** | | |  |
|  | **Derivative** | | **Conversion** | | **Date** | **Execution Date,** | **Transaction** | | **of** | **Expiration Date** | | |  | **of Securities** | | | | **Derivative** | | **derivative** |  | **Ownership** | **of Indirect** | | |  |
|  | **Security** | | **or Exercise** | | **(Month/Day/Year)** | **if any** | **Code (Instr.** | | **Derivative** | **(Month/Day/Year)** | | | | **Underlying** | |  |  | **Security** | | **Securities** |  | **Form:** | **Beneficial** | | |  |
|  | **(Instr. 3)** | | **Price of** |  |  | **(Month/Day/Year)** | **8)** | | **Securities** |  |  |  |  | **Derivative Security** | | | | **(Instr. 5)** | | **Beneficially** | | **Direct (D)** | **Ownership** | | |  |
|  |  |  | **Derivative** |  |  |  |  |  | **Acquired** |  |  |  |  | **(Instr. 3 and 4)** | | | |  |  | **Owned** |  | **or Indirect** | **(Instr. 4)** | | |  |
|  |  |  | **Security** |  |  |  |  |  | **(A) or** |  |  |  |  |  |  |  |  |  |  | **Following** |  | **(I) (Instr. 4)** |  |  |  |  |
|  |  |  |  |  |  |  |  |  | **Disposed** |  |  |  |  |  |  |  |  |  |  | **Reported** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  | **of (D) (Instr.** |  |  |  |  |  |  |  |  |  |  | **Transaction(s)** | |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  | **3, 4 and 5)** |  |  |  |  |  |  |  |  |  |  | **(Instr. 4)** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **Amount** | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **or** | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **Number** | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | **Date** | | **Expiration** | |  |  | **of** | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  | **Code V** | | **(A) (D)** | **Exercisable** | | **Date** | | **Title** | | **Shares** | |  |  |  |  |  |  |  |  |  |
|  |  | |  |  |  |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  |  |  |
|  | Restricted | | (1) |  |  |  |  |  |  | (5) | |  | (5) | Class A | | 1,062 |  |  |  |  |  |  |  |  |  |  |
|  | Stock | |  | 02/20/2017 |  |  | M | 1,062 |  | Common | |  | $0.00 | | 1,062 |  | D |  |  |  |  |
|  | Units | |  |  |  |  |  |  |  |  |  |  |  |  | Stock |  |  |  |  |  |  |  |  |  |  |  |
|  |  | |  |  |  |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  |  |  |
|  | Restricted | | (1) |  | 02/25/2017(3) |  |  |  |  | (6) | |  | (6) | Class A | | 60,000 |  |  |  |  |  |  |  |  |  |  |
|  | Stock | |  |  |  | M | 60,000 |  | Common | |  | $0.00 | | 120,000 | | D |  |  |  |  |
|  | Units | |  |  |  |  |  |  |  |  |  |  |  |  | Stock |  |  |  |  |  |  |  |  |  |  |  |

**Explanation of Responses:**

1. Restricted Stock Units settle in Class A Common Stock on a 1:1 basis.
2. The Company withheld shares of common stock to satisfy the tax withholding obligation for the Reporting Person's Restricted Stock Units that vested on February 20, 2017.
3. This amendment is being filed to amend the Form 4 filed by the Reporting Person on February 21, 2017 to correct an inadvertent administrative error reporting the Transaction Date as February 18, 2017. The correct Transaction Date, together with a minor adjustment to the number of shares withheld for tax purposes, are reflected in this amended filing.
4. The Company withheld shares of common stock to satisfy the tax withholding obligation for the Reporting Person's Restricted Stock Units that vested on February 25, 2017.
5. Restricted Stock Units vested and converted to Class A Common Stock on February 20, 2017.
6. Restricted Stock Units vested and converted to Class A Common Stock on February 25, 2017.

**Remarks:**

This amended Form 4 is filed to accurately report a Transaction Date of February 25, 2017 for certain restricted stock units. The previously described administrative error did not impact the transactions reported for February 20, 2017.

/s/ David F. Kurzawa, by power 02/28/2017



of 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.**