

GENWORTH FINANCIAL INC  
Form 3  
April 20, 2016

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

**INITIAL STATEMENT OF 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)

<p>1. Name and Address of Reporting Person *</p> <p>Â Farney Matthew D</p> <p>(Last) (First) (Middle)</p> <p>C/O GENWORTH FINANCIAL, INC., Â 6620 WEST BROAD STREET</p> <p>(Street)</p> <p>RICHMOND, Â VA Â 23230</p> <p>(City) (State) (Zip)</p>	<p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>04/15/2016</p>	<p>3. Issuer Name and Ticker or Trading Symbol</p> <p>GENWORTH FINANCIAL INC [GNW]</p>	<p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) Vice President and Controller</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person</p>
---	---	--	---	---	---

**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Class A Common Stock	2,339	D	Â

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

SEC 1473 (7-02)

**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.**

**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
---	---	--	---	---	--

Edgar Filing: GENWORTH FINANCIAL INC - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Units (RSUs)	Â (1)	Â (1)	Class A Common Stock	900	\$ (2)	D	Â
Restricted Stock Units (RSUs)	Â (3)	Â (3)	Class A Common Stock	1,225	\$ (2)	D	Â
Restricted Stock Units (RSUs)	Â (4)	Â (4)	Class A Common Stock	4,350	\$ (2)	D	Â
Stock Settled SARs	Â (5)	02/20/2024	Class A Common Stock	7,000	\$ 15.23	D	Â
Stock Settled SARs	Â (6)	02/15/2023	Class A Common Stock	8,250	\$ 9.06	D	Â
Stock Settled SARs	Â (7)	02/14/2022	Class A Common Stock	4,500	\$ 8.88	D	Â
Stock Settled SARs	Â (8)	02/09/2021	Class A Common Stock	5,000	\$ 12.75	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Farney Matthew D C/O GENWORTH FINANCIAL, INC. 6620 WEST BROAD STREET RICHMOND, VA 23230	Â	Â	Â	Vice President and Controller	Â

## Signatures

/s/ David F. Kurzawa, by power of attorney 04/20/2016

\*\*Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, see Instruction 5(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).
- (1) Vests and converts to Class A Common Stock in equal installments on each of 02/20/2017 and 02/20/2018.
- (2) Restricted Stock Units settle in Class A Common Stock on a 1:1 basis.

## Edgar Filing: GENWORTH FINANCIAL INC - Form 3

(3) Vests and converts to Class A Common Stock on 02/15/2017.

(4) Vests and converts to Class A Common Stock in equal installments on each of 03/20/2018 and 03/20/2019.

Vested in equal annual installments on each of 02/20/2015 and 02/20/2016. Remaining award vests in equal annual installments on each of 02/20/2017 and 02/20/2018. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

(6) Vested in equal annual installments on each of 02/15/2014, 02/15/2015 and 02/15/2016. Remaining award vests on 02/15/2017. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

(7) Vested in equal annual installments on each of 02/14/2013, 02/14/2014, 02/14/2015 and 02/14/2016. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

(8) Vested in equal annual installments on each of 02/09/2012, 02/09/2013, 02/09/2014 and 02/09/2015. The vested and unexercised portion of the SARs, if any, shall be automatically exercised if the closing price of the issuer's common stock equals or exceeds a specified "maximum share value" equal to \$75.

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.