Pehota Joseph Form 4 August 20, 2009

## 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 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

(Last)

(City)

Symbol

GENWORTH FINANCIAL INC [GNW]

3. Date of Earliest Transaction

(First)

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

(Street)

(State)

4. If Amendment, Date Original

Filed(Month/Day/Year)

(Month/Day/Year)

08/18/2009

(Middle)

5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading

Issuer

(Check all applicable)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

Director 10% Owner X\_ Officer (give title Other (specify

below)

SVP - Corporate Development

6. Individual or Joint/Group Filing(Check

Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting

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

RICHMOND, VA 23230

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

(Zip)

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8)

(Instr. 3, 4 and 5)

5. Amount of Securities Beneficially Owned Following Reported

6. Ownership Form: Direct (I) (Instr. 4)

7. Nature of Indirect (D) or Indirect Beneficial Ownership (Instr. 4)

(9-02)

Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

(A)

or

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

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Conversion 3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if

5. Number of TransactionDerivative

6. Date Exercisable and **Expiration Date** 

7. Title and Amount Underlying Securitie

### Edgar Filing: Pehota Joseph - Form 4

Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(Month/Day/Year)		(Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amour or Number of Shar
Stock Settled SARs	\$ 22.8	08/18/2009		D		45,500	<u>(1)</u>	02/13/2018	Class A Common Stock	45,50
Stock Settled SARs	\$ 30.52	08/18/2009		D		31,150	(2)	07/31/2017	Class A Common Stock	31,15
Stock Settled SARs	\$ 34.13	08/18/2009		D		24,500	(3)	08/09/2016	Class A Common Stock	24,50
Stock Settled SARs	\$ 32.1	08/18/2009		D		21,000	<u>(4)</u>	07/20/2015	Class A Common Stock	21,00
Stock Settled SARs	\$ 19.5	08/18/2009		D		50,000	<u>(5)</u>	05/25/2014	Class A Common Stock	50,00
Stock Settled SARs	\$ 7.8	08/19/2009		A	15,166		<u>(6)</u>	02/13/2018	Class A Common Stock	15,16
Stock Settled SARs	\$ 7.8	08/19/2009		A	10,383		<u>(7)</u>	07/31/2017	Class A Common Stock	10,38
Stock Settled SARs	\$ 7.8	08/19/2009		A	8,166		<u>(7)</u>	08/09/2016	Class A Common Stock	8,16
Stock Settled SARs	\$ 7.8	08/19/2009		A	7,000		<u>(7)</u>	07/20/2015	Class A Common Stock	7,00
Stock Settled SARs	\$ 7.8	08/19/2009		A	16,666		<u>(7)</u>	05/25/2014	Class A Common Stock	16,66

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Pehota Joseph C/O GENWORTH FINANCIAL, INC.			SVP - Corporate Development				

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#### 6620 WEST BROAD STREET RICHMOND, VA 23230

## **Signatures**

/s/ Richard J. Oelhafen, Jr., by power of attorney

08/20/2009

\*\*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).
- (1) The SARs provided for vesting in five equal installments beginning on February 13, 2009.
- (2) The SARs provided for vesting in five equal installments beginning on July 31, 2008.
- (3) The SARs provided for vesting in five equal installments beginning on August 9, 2007.
- (4) The SARs provided for vesting in five equal installments beginning on July 20, 2006.
- (5) The SARs provided for vesting in four equal installments beginning on May 25, 2006.
- (6) The SARs vest in four equal annual installments beginning on August 19, 2010.
- (7) The SARs vest in three equal annual installments beginning on August 19, 2010.
  - The disposition of SARs reported on this Form 4 was pursuant to the issuer's equity exchange program. For every three SARs that were
- (8) cancelled, the reporting person was granted one new SAR with a base price equal to the closing price of the issuer's Class A Common Stock on August 19, 2009.

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.

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