

## **GENWORTH FINANCIAL INC**

# Reported by GROH KELLY L

### FORM 3

(Initial Statement of Beneficial Ownership)

### Filed 05/17/12 for the Period Ending 05/11/12

Address 6620 WEST BROAD STREET

RICHMOND, VA 23230

Telephone 804-281-6000

CIK 0001276520

Symbol GNW

SIC Code 6311 - Life Insurance

Industry Insurance (Life)

Sector Financial

Fiscal Year 12/31





## UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL OMB Number: 3235-0104 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

Person * Stat		Statement		3. Issuer Name and Ticker or Trading Symbol GENWORTH FINANCIAL INC [GNW]							
(Last) (First) (Middle)	4. Relationship of Reporting Person(s) to Issuer (Check all applicable)										
C/O GENWORTH FINANCIAL, INC., 6620 WEST BROAD STREET	Director 10% Owner  X Officer (give title below) Other (specify below)  Vice President & Controller /										
(Street)  RICHMOND, VA 23230	5. If Amend Original File (MM/DD/YYY	ed	_ <b>X</b> _ Form	6. Individual or Joint/Group Filing (Check Applicable Line)  _ X _ Form filed by One Reporting Person  _ Form filed by More than One Reporting Person							
(City) (State) (Zip)											
1.Title of Security (Instr. 4)		t of Securitie	Beneficially Costs  3.  Owners  Form: D  (D) or  Indirect  (Instr. 5		arship Ownersl (Instr. 5)						
Class A Common Stock		5738			D						
Class A Common Stock	12	1235.696			I By		401(k) Plan				
Table II - Derivative Secu	rities Benefici	ally Owned	( e.g. , puts,	calls,	warr	ants, op	tions	s, convertib	le securities)		
1. Title of Derivate Security (Instr. 4)	2. Date Exercisable and Expiration Date MM/DD/YYYY)		3. Title and Amor Securities Underl Derivative Securi (Instr. 4)		ying	ng Conversi		se Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)		
	Date Exercisable I	Expiration Date	Title	or Num	Amount Se			Direct (D) or Indirect (I) (Instr. 5)			
Restricted Stock Units	(1)	(1)	Class A Common Stock	250	00	(6)	)	D			
Restricted Stock Units	(2)	(2)	Class A Common Stock	71	.7	(6)	)	D			
Restricted Stock Units	(3)	(3)	Class A Common Stock	150	00	(6)	)	D			

1. Title of Derivate Security (Instr. 4)	2. Date Exercisable and Expiration Date (MM/DD/YYYY)		3. Title and Securities U Derivative S (Instr. 4)	nderlying		Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Units	(4)	(4)	Class A Common Stock	3999	(6)	D	
Restricted Stock Units	(5)	(5)	Class A Common Stock	6667	(6)	D	
Stock Settled SARs	(7)	2/9/2021	Class A Common Stock	24000	\$12.75	D	
Stock Settled SARs	(8)	2/14/2022	Class A Common Stock	30000	\$8.88	D	
Stock Options (right to buy)	9/13/2007	9/13/2012	Class A Common Stock	2504	\$17.2822	D	
Stock Options (right to buy)	2/12/2012	2/12/2019	Class A Common Stock	26250	\$2.46	D	
Stock Options (right to buy)	(9)	5/25/2014	Class A Common Stock	16666	\$7.80	D	
Stock Options (right to buy)	(9)	7/20/2015	Class A Common Stock	2000	\$7.80	D	
Stock Options (right to buy)	(9)	8/9/2016	Class A Common Stock	1700	\$7.80	D	
Stock Options (right to buy)	(9)	7/31/2017	Class A Common Stock	2150	\$7.80	D	
Stock Options (right to buy)	(10)	2/13/2018	Class A Common Stock	4500	\$7.80	D	
Stock Options (right to buy)	(11)	2/10/2020	Class A Common Stock	39000	\$14.18	D	

#### **Explanation of Responses:**

- (1) Vests and converts to Class A Common Stock on 2/7/2015.
- (2) Vests and converts to Class A Common Stock on 7/31/2012
- (3) Vests and converts to Class A Common Stock on 2/13/2013.

- (4) Vests and converts to Class A Common Stock in equal annual installments on each of 2/9/2013, 2/9/2014 and 2/9/2015.
- (5) Vests and converts to Class A Common Stock in equal annual installments on each of 2/14/2013, 2/14/2014, 2/14/2015 and 2/14/2016.
- (6) Restricted Stock Units settle in Class A Common Stock on a 1:1 basis.
- (7) Vested one-fourth on 2/9/2012. Remaining award vests in equal annual installments on each of 2/9/2013, 2/9/2014 and 2/9/2015. 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.
- (8) Vests in equal annual installments on each of 2/14/2013, 2/14/2014, 2/14/2015 and 2/14/2016. 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.
- (9) Vested one-third on 8/19/2010 and 8/19/2011. Remaining award vests on 8/19/2012.
- (10) Vested one-fourth on 8/19/2010 and 8/19/2011. Remaining award vests in equal annual installments on 8/19/2012 and 8/19/2013.
- (11) Vested one-fourth on 2/10/2011 and 2/10/2012. Remaining award vests in equal annual installments on 2/10/2013 and 2/10/2014.

Reporting Owners

Reporting Owners								
Demouting Overson Name / Address	Relationships							
Reporting Owner Name / Address	Director	10% Owner	Officer	Other				
Groh Kelly L C/O GENWORTH FINANCIAL, INC.			Vice President & Controller					
6620 WEST BROAD STREET RICHMOND, VA 23230								

#### **Signatures**

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

\*\* Signature of Reporting Person

5/17/2012

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 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).

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 control number.

May 11, 2012

Securities and Exchange Commission 450 5th Street, N.W. Washington, D.C. 20549

Re: Authorization to Sign Rule 16 Forms

To whom it may concern:

I will be Vice President and Controller of Genworth Financial, Inc. ("Genworth") and, until further written notice, I hereby individually authorize Leon E. Roday (Genworth's Senior Vice President, General Counsel and Secretary), and Christine A. Ness (Genworth's Assistant Secretary) to sign on my behalf a Form 3 and any Form 4 or Form 5 or related form that I have filed or may file hereafter in connection with my direct or indirect beneficial ownership of Genworth securities, and to take any other action of any type whatsoever in connection with the foregoing which in his or her opinion may be of benefit to, in the best interest of, or legally required by me.

Very truly yours,
/s/ Kelly L. Groh
Kelly L. Groh