## Edgar Filing: GENWORTH FINANCIAL INC - Form 3

#### GENWORTH FINANCIAL INC

Form 3 July 10, 2008

## FORM 3

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

OMB APPROVAL

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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)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement GENWORTH FINANCIAL INC [GNW] A Schneider Kevin Douglas (Month/Day/Year) 07/01/2008 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O GENWORTH FINANCIAL, (Check all applicable) INC., 6620 WEST BROAD STREET 10% Owner Director (Street) \_X\_ Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) SVP - Genworth \_X\_ Form filed by One Reporting Person RICHMOND. VAÂ 23230 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial

1.Title of Security
(Instr. 4)

2. Amount of Security
(Beneficially Owned
(Instr. 4)

Ownership
Form:
Direct (D)

4. Nature of Indirect Benefic Ownership

(Instr. 5)

Â

or Indirect
(I)
(Instr. 5)

D

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

of manectry.

Class A Common Stock

SEC 1473 (7-02)

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

1,269

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

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Options (right to buy)	(1)	05/25/2014	Class A Common Stock	160,000	\$ 19.5	D	Â
Stock Options (right to buy)	(2)	09/12/2013	Class A Common Stock	16,905	\$ 20.1445	D	Â
Stock Options (right to buy)	09/14/2004	03/14/2010	Class A Common Stock	4,696	\$ 27.0467	D	Â
Stock Options (right to buy)	09/22/2005	09/22/2010	Class A Common Stock	1,566	\$ 36.6169	D	Â
Stock Options (right to buy)	09/26/2005	07/26/2011	Class A Common Stock	7,826	\$ 27.9518	D	Â
Stock Options (right to buy)	(3)	09/26/2011	Class A Common Stock	7,826	\$ 22.6681	D	Â
Stock Options (right to buy)	09/13/2007	09/13/2012	Class A Common Stock	4,069	\$ 17.2822	D	Â
Stock Options (right to buy)	(4)	07/20/2015	Class A Common Stock	13,800	\$ 32.1	D	Â
Stock Options (right to buy)	(5)	08/09/2016	Class A Common Stock	15,300	\$ 34.13	D	Â
Stock Options (right to buy)	(6)	07/31/2017	Class A Common Stock	18,900	\$ 30.52	D	Â
Stock Options (right to buy)	(7)	02/13/2018	Class A Common Stock	25,200	\$ 22.8	D	Â
Restricted Stock Units	09/12/2008	09/12/2008	Class A Common Stock	1,878	\$ (12)	D	Â
Restricted Stock Units	(8)	(8)	Class A Common Stock	3,067	\$ (12)	D	Â
Restricted Stock Units	(9)	(9)	Class A	3,400	\$ (12)	D	Â

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			Common Stock				
Restricted Stock Units	(10)	(10)	Class A Common Stock	4,200	\$ <u>(12)</u>	D	Â
Restricted Stock Units	(11)	(11)	Class A Common Stock	5,600	\$ <u>(12)</u>	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
. 9	Director	10% Owner	Officer	Other		
Schneider Kevin Douglas						
C/O GENWORTH FINANCIAL, INC.	â	â	SVP - Genworth	â		
6620 WEST BROAD STREET	A	А	A SVP - Genworth	Α		
RICHMOND, VA 23230						

# **Signatures**

/s/ Christine A. Ness, Attorney-in-Fact 07/10/2008

\*\*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) 40,000 stock options vested on 5/25/2007 and 60,000 stock options vested on 5/25/2008. Remaining 60,000 stock options vest on 5/25/2009.
- (2) Vested 20% on each of 9/12/2004, 9/12/2005, 9/12/2006 and 9/12/2007. Remaining award vests 20% on 9/12/2008.
- (3) Vested 50% on each of 9/26/2004 and 9/26/2006.
- (4) Vested 20% on each of 7/20/2006 and 7/20/2007. Remaining award vests 20% on each of 7/20/2008, 7/20/2009 and 7/20/2010.
- (5) Vested 20% on 8/09/2007. Remaining award vests 20% on each of 8/09/2008, 8/09/2009, 8/09/2010 and 8/09/2011.
- (6) Vests in 20% annual increments beginning on 7/31/2008.
- (7) Vests in 20% annual increments beginning on 2/13/2009.
- (8) Vests and converts to Class A Common Stock: 50% on each of 7/20/2008 and 7/20/2010.
- (9) Vests and converts to Class A Common Stock: 50% on each of 8/09/2009 and 8/09/2011.
- (10) Vests and converts to Class A Common Stock: 50% on each of 7/31/2010 and 7/31/2012.
- (11) Vests and converts to Class A Common Stock: 50% on each of 2/13/2011 and 2/13/2013.
- (12) Restricted Stock Units settle in Class A Common Stock on a 1:1 basis.

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