### Edgar Filing: Maggioncalda Jeffrey Nacey - Form 4

Maggioncalda Jeffrey Nacey Form 4 September 23, 2010

#### **OMB APPROVAL** FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Maggioncalda Jeffrey Nacey Issuer Symbol Financial Engines, Inc. [FNGN] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) \_X\_ Director 10% Owner Other (specify X\_Officer (give title 1804 EMBARCADERO ROAD 09/22/2010 below) below) CEO and President (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting PALO ALTO, CA 94303 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) any Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial Owned (Month/Day/Year) (Instr. 8) Direct (D) Ownership

			Code V	Amount	(A) or (D)	Price	Following Reported Transaction(s) (Instr. 3 and 4)	or Indirect (I) (Instr. 4)	(Instr. 4)
Common Stock	09/22/2010	09/22/2010	М		A	\$1	51,074	I	By the 1999 Maggioncalda Family Trust
Common Stock	09/22/2010	09/22/2010	S <u>(1)</u>	2,858	D	\$ 13.7436 (2)	48,216	I	By the 1999 Maggioncalda Family Trust
Common Stock							26,222	I	As Custodian for Child
Common Stock							26,222	Ι	As Custodian for Child
							26,222	Ι	

		0	0 00		, ,					
Common Stock								As Custod for Child	ian	
Reminder: Re	port on a separ	rate line for each class	s of securities benefic	Persons informat required	who respon tion containe to respond a currently	SEC 1474 (9-02)				
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned         (e.g., puts, calls, warrants, options, convertible securities)										
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. Number on f Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	f Derivative Expiration Date ecurities (Month/Day/Year) acquired A) or Disposed of D) Instr. 3, 4,			7. Title and Amount of 8 Underlying Securities 1 (Instr. 3 and 4) 6	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Employee Stock Option (right to buy)	\$ 1	09/22/2010	09/22/2010	М	2,858	<u>(3)</u>	12/19/2011	Common Stock	2,858	

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# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Maggioncalda Jeffrey Nacey 1804 EMBARCADERO ROAD PALO ALTO, CA 94303	Х		CEO and President				

## Signatures

Joanne E. Burns 09/23/2010 <u>\*\*</u>Signature of Date
Reporting Person

# **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 sale reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 1, 2010.

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The price reported in Col 4 is a weighted average sales price. These shares were sold in multiple transactions at prices ranging from \$13.69 to \$13.77, inclusive. The reporting person undertakes to provide, upon request, Financial Engines, Inc., any shareholder thereof, or

- (2) \$15.69 to \$15.77, inclusive. The reporting person undertakes to provide, upon request, Financial Engines, inc., any shareholder thereof, or the staff of the Securities and Exchange Commission, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (3) The option award is fully vested.

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.