

Cappel Anne Tuttle  
 Form 4  
 October 18, 2012

**FORM 4**

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

OMB APPROVAL

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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 \*  
 Cappel Anne Tuttle

(Last) (First) (Middle)  
 1050 ENTERPRISE WAY, 3RD FLOOR  
 (Street)

SUNNYVALE, CA 94089

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
 Financial Engines, Inc. [FNGN]

3. Date of Earliest Transaction (Month/Day/Year)  
 10/17/2012

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_ Director \_\_\_ 10% Owner  
 Officer (give title below) \_\_\_ Other (specify below)  
 EVP & General Counsel

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 \_\_\_ Form filed by More than One Reporting Person

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |   |
| Common Stock                    | 10/17/2012                           | 10/17/2012   | M                              | 320   | A \$ 6.51   | 15,968   | D   |
| Common Stock                    | 10/17/2012                           | 10/17/2012   | S <sup>(1)</sup>               | 320   | D \$ 23.852   | 15,648   | D   |
| Common Stock                    | 10/17/2012                           | 10/17/2012   | M                              | 1,138   | A \$ 6.51   | 16,786   | D   |
| Common Stock                    | 10/17/2012                           | 10/17/2012   | S <sup>(1)</sup>               | 1,138   | D \$ 23.852   | 15,648   | D   |
|                                 | 10/17/2012                           | 10/17/2012   | M                              | 261   | A \$ 7.99   | 15,909   | D   |

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|              |            |            |                  |       |   |                            |        |   |
|--------------|------------|------------|------------------|-------|---|----------------------------|--------|---|
| Common Stock |            |            |                  |       |   |                            |        |   |
| Common Stock | 10/17/2012 | 10/17/2012 | S <sup>(1)</sup> | 261   | D | \$<br>23.852<br><u>(2)</u> | 15,648 | D |
| Common Stock | 10/17/2012 | 10/17/2012 | M                | 1,301 | A | \$ 7.99                    | 16,949 | D |
| Common Stock | 10/17/2012 | 10/17/2012 | S <sup>(1)</sup> | 1,301 | D | \$<br>23.852<br><u>(2)</u> | 15,648 | D |

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

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(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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Amount or Number of Shares |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|----------------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                         | Amount or Number of Shares |
| Employee Stock Option (Right to Buy)       | \$ 6.51  | 10/17/2012                           | 10/17/2012   | M                              | 320   | <u>(3)</u> 11/11/2018                                    | Common Stock  | 320                           |                            |
| Employee Stock Option (Right to Buy)       | \$ 6.51  | 10/17/2012                           | 10/17/2012   | M                              | 1,138   | <u>(4)</u> 11/11/2018                                    | Common Stock  | 1,138                         |                            |
| Employee Stock Option (Right to Buy)       | \$ 7.99  | 10/17/2012                           | 10/17/2012   | M                              | 261   | <u>(5)</u> 11/09/2019                                    | Common Stock  | 261                           |                            |

|  |         |            |            |   |       |            |            |                 |       |
|--|---------|------------|------------|---|-------|------------|------------|-----------------|-------|
| Employee<br>Stock<br>Option<br>(Right to<br>Buy) | \$ 7.99 | 10/17/2012 | 10/17/2012 | M | 1,301 | <u>(6)</u> | 11/09/2019 | Common<br>Stock | 1,301 |
|--|---------|------------|------------|---|-------|------------|------------|-----------------|-------|

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                       |       |
|---|---------------|-----------|-----------------------|-------|
|   | Director      | 10% Owner | Officer               | Other |
| Cappel Anne Tuttle<br>1050 ENTERPRISE WAY<br>3RD FLOOR<br>SUNNYVALE, CA 94089 |               |           | EVP & General Counsel |       |

## Signatures

|                                      |            |
|--------------------------------------|------------|
| Joanne E. Burns,<br>Attorney-in-Fact | 10/18/2012 |
|--------------------------------------|------------|

\_\_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 sale reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 14, 2011.

(2) The price reported in Col 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$23.74 to \$24.00, 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 vests as to 3,840 shares on 11/11/09, and the remaining shares vest monthly thereafter from 12/11/09 to 11/11/12.

(4) The option award vests as to 13,660 shares on 11/11/09, and the remaining shares vest monthly thereafter from 12/11/09 to 11/11/12.

(5) The option award vests as to 3,128 shares on 11/09/10, and the remaining shares vest monthly thereafter from 12/09/10 to 11/09/13.

(6) The option award vests as to 15,621 shares on 11/09/10, and the remaining shares vest monthly thereafter from 12/09/10 to 11/09/13.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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