Gamble Paul Form 4 November 15, 2012

# FORM 4

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

OMB ,

Number:

3235-0287

Expires: January 31, 2005

**OMB APPROVAL** 

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if no longer subject to Section 16. Form 4 or

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Form 5 obligations may continue. See Instruction Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

| 1. Name and Address of Reporting Person * Gamble Paul |                                      |          | Symbol  |                         | nd Ticker or Trading  | 5. Relationship of Reporting Person(s) to Issuer        |                    |                                    |  |  |
|---|--------------------------------------|----------|---|-------------------------|---|---|--------------------|------------------------------------|--|--|
| (Last)  | (First)                              | (Middle) | Financial Engines, Inc. [FNGN]  3. Date of Earliest Transaction |                         |   | (Check all applicable)                                  |                    |                                    |  |  |
| ` '   | ERPRISE WAY                          |          |   | Day/Year)               | Hailsaction   | X_ Officer (give below)                                 | below)             | er (specify                        |  |  |
| 120011  |                                      | 4. If Am | endment. I  | Date Original           | EVP, Distrib & Inst Services  6. Individual or Joint/Group Filing(Check |   |                    |                                    |  |  |
| ` /   |                                      |          | Filed(Month/Day/Year)   |                         |   | Applicable Line) _X_ Form filed by One Reporting Person |                    |                                    |  |  |
| SUNNYVALE, CA 94089                                   |                                      |          |   |                         |   | Form filed by M<br>Person                               | fore than One Re   | eporting                           |  |  |
| (City)  | (State)                              | (Zip)    | Tab   | ole I - Non-            | Derivative Securities Acq   | uired, Disposed of                                      | , or Beneficial    | ly Owned                           |  |  |
| 1.Title of<br>Security<br>(Instr. 3)                  | 2. Transaction Da<br>(Month/Day/Year |          |   | 3.<br>Transacti<br>Code | 4. Securities Acquired (A or Disposed of (D) (Instr. 3, 4 and 5)        | 5. Amount of<br>Securities<br>Beneficially              | 6. Ownership Form: | 7. Nature<br>Indirect<br>Beneficia |  |  |

| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | Code (Instr. 8) | omr Dispo<br>(Instr. 3, | sed of<br>4 and<br>(A)<br>or | 5)            | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|--------------------------------------|---|---|-----------------|-------------------------|------------------------------|---------------|--|--|---|
| Common<br>Stock                      | 11/14/2012                              | 11/14/2012  | Code V M        | Amount 926              | (D)                          | Price \$ 6.51 | 26,502   | D  |   |
| Common<br>Stock                      | 11/14/2012                              | 11/14/2012  | S <u>(1)</u>    | 926                     | D                            | \$<br>25.3554 | 25,576   | D  |   |

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

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SEC 1474

(9-02)

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

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| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | 5. Number on f Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | Expiration Date tive (Month/Day/Year) ties ted |                    | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |  |
|---|---|--------------------------------------|---|---------------------------------------|---|--|--------------------|---|--|
|   |   |                                      |   | Code V                                | (A) (D)   | Date<br>Exercisable                            | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 6.51   | 11/14/2012                           | 11/14/2012  | M                                     | 926   | (3)  | 11/11/2018         | Common<br>Stock   | 926                                    |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |           |               |       |  |  |  |
|--------------------------------|---------------|-----------|---------------|-------|--|--|--|
| . 0                            | Director      | 10% Owner | Officer       | Other |  |  |  |
| Gamble Paul                    |               |           | EVP,          |       |  |  |  |
| 1050 ENTERPRISE WAY, 3RD FLOOR |               |           | Distrib &     |       |  |  |  |
| SUNNYVALE, CA 94089            |               |           | Inst Services |       |  |  |  |

# **Signatures**

Joanne Burns, Attorney-in-Fact

\*\*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 persuant to a 10b5-1 trading plan adopted by the reporting person on June 1, 2012.
- The price reported in Col 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$25.12 to \$25.59, inclusive. The reporting person undertakes to provide, upon request, Financial Engines, Inc., any shareholder thereof, or the staff of the Securities and Exchange Commisson, 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 7410 shares on 11/11/09, and the remaining shares vest monthly thereafter from 12/11/09 to 11/11/12. 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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