Edgar Filing: Berg-Lacy E. Olena - Form 4

Berg-Lacy I Form 4 March 05, 2	2013									OMB AF	PROVAL	
CONIVI 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSI Washington, D.C. 20549								OMMISSION	OMB Number:	3235-0287		
Check t	agar									Expires:	January 31,	
if no lor subject Section Form 4	to SIAIE N 16.	STATEMENT OF CHANGES IN BENEFICIAL OWN SECURITIES								Estimated a burden hour response	•	
Form 5 obligations may continue. See Instruction 1(b). 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)												
Berg-Lacy E. Olena S			2. Issuer Name and Ticker or Trading Symbol Financial Engines, Inc. [FNGN]]	5. Relationship of Reporting Person(s) to Issuer			
(Last)		3. Date of Earliest Transaction]	(Check all applicable)				
(Mon				Month/Day/Year)					_X_ Director 10% Owner Officer (give title Other (specify			
1050 ENTERPRISE WAY, 3RD03/01/2013Officer (give titleOther (specifyFLOORbelow)below)									(speeny			
				ed(Month/Day/Year)					6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person			
SUNNYVALE, CA 94089 Form filed by More than One Reporting Person												
(City)	(State)	(Zip)	Table	e I - No	on-I	Derivative	Secu	rities Acqu	ired, Disposed of,	or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution D any	Date, if Transactionor Disposed of (D) Code (Instr. 3, 4 and 5) ay/Year) (Instr. 8) (A) or				(D)	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)		
Common	03/01/2013	03/01/201		M	v	667	(D) A	\$ 6.51	667	D		
Stock								¢				
Common Stock	03/01/2013	03/01/201	3	S		667	D	\$ 32.6896	0	D		
Common Stock	03/01/2013	03/01/201	3	Μ		2,833	A	\$ 8.75	2,833	D		
Common Stock	03/01/2013	03/01/201	3	S		2,833	D	\$ 32.6896 (1)	0	D		

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

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.

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)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. I Dei Sec (In:
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (Right to Buy)	\$ 6.51	02/27/2013	02/27/2013	М	667	(2)	12/17/2018	Common Stock	667	
Stock Option (Right to Buy)	\$ 8.75	03/01/2013	03/01/2013	М	2,833	(3)	01/26/2020	Common Stock	2,833	

Reporting Owners

Reporting Owner Name / Address	Relationships						
1 8	Director	10% Owner	Officer	Other			
Berg-Lacy E. Olena 1050 ENTERPRISE WAY 3RD FLOOR SUNNYVALE, CA 94089	Х						
Signatures							
Joanne E. Burns, Attorney-in-Fact	()3/05/2013					

**Signature of 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).

The price reported in Col 4 is a weighted average sales price. These shares were sold in multiple transactions at prices ranging from \$32.58 to \$32.73, inclusive. The reporting person undertakes to provide, upon request, Financial Engines, Inc., any shareholder thereof, or

- (1) 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.
- (2) The option award is fully vested.
- (3) The option award vests as to 2,500 shares on 1/26/2011, and the remaining shares vest monthly thereafter from 2/26/11 to 1/26/2014.

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.