

Financial Engines, Inc.  
Form 4  
November 22, 2013

# 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 \*  
Maggioncalda Jeffrey Nacey

(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)  
11/21/2013

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)  
CEO

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) | (A) or (D) | 5. Amount or Price | 6. Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 7. Nature of Ownership (Instr. 4) |                               |
|---------------------------------|--------------------------------------|--|--------------------------------|---|------------|--------------------|---|-----------------------------------|-------------------------------|
| Common Stock                    | 11/21/2013                           | 11/21/2013   | M                              | 400   | A          | \$ 7.5             | 236,077   | I                                 | The Maggioncalda Family Trust |
| Common Stock                    | 11/21/2013                           | 11/21/2013   | S <sup>(1)</sup>               | 400   | D          | \$ 62.9575         | 235,677   | I                                 | The Maggioncalda Family Trust |
| Common Stock                    | 11/21/2013                           | 11/21/2013   | M                              | 1,300   | A          | \$ 7.5             | 236,977   | I                                 | The Maggioncalda Family Trust |
| Common Stock                    | 11/21/2013                           | 11/21/2013   | S <sup>(1)</sup>               | 1,300   | D          | \$ 64.57           | 235,677   | I                                 | The Maggioncalda              |

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|              |            |            |                  |       |   |                      |         |   |   |
|--------------|------------|------------|------------------|-------|---|----------------------|---------|---|---|
| Common Stock | 11/21/2013 | 11/21/2013 | M                | 9,799 | A | \$ 7.5               | 245,476 | I | Family Trust<br>The Maggioncalda Family Trust |
| Common Stock | 11/21/2013 | 11/21/2013 | S <sup>(1)</sup> | 9,799 | D | \$<br>65.7674<br>(4) | 235,677 | I | The Maggioncalda Family Trust                 |
| Common Stock | 11/21/2013 | 11/21/2013 | M                | 3,501 | A | \$ 7.5               | 239,178 | I | The Maggioncalda Family Trust                 |
| Common Stock | 11/21/2013 | 11/21/2013 | S <sup>(1)</sup> | 3,501 | D | \$<br>66.5052<br>(5) | 235,677 | I | The Maggioncalda Family Trust                 |
| Common Stock |            |            |                  |       |   |                      | 20,000  | I | By Child                                      |
| Common Stock |            |            |                  |       |   |                      | 20,000  | I | By Child                                      |
| Common Stock |            |            |                  |       |   |                      | 20,000  | I | by Child                                      |

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) | 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)       | \$ 7.5   | 11/21/2013                           | 11/21/2013   | M                              | 12,954  | (6)  | 09/19/2016  | Common Stock               | 12,954                     |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| Maggioncalda Jeffrey Nacey<br>1050 ENTERPRISE WAY<br>3RD FLOOR<br>SUNNYVALE, CA 94089 | X             |           | CEO     |       |

## Signatures

Joanne E. Burns,  
Attorney-in-Fact

11/22/2013

\_\_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 12, 2012.
- The price reported in Col 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$62.85 to \$63.00 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.
- (2) The price reported in Col 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$64.16 to \$65.00 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 price reported in Col 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$65.21 to \$66.21 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.
- (4) The price reported in Col 4 is a weighted average sales price. These shares were sold in multiple transactions at prices ranging from \$66.23 to \$66.85, 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.
- (5) The option award is fully vested.
- (6)

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.