Edgar Filing: Financial Engines, Inc. - Form 4

Financial E Form 4	ngines, Inc.									
March 06, 2	2014									
	UNITED	Washington, D.C. 20549							3235-0287	
Check t if no lor subject Section Form 4 Form 5	nger to 16. or Filed pu	DOX							Expires:January 31, 2005Estimated average burden hours per response0.5	
obligations may continue.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 <u>*</u> Raffone Lawrence M.							5. Relationship of Reporting Person(s) to Issuer			
			· ·	_	ING	۷J	(Check	all applicable)	
(Last) (First) (Middle) 1050 ENTERPRISE WAY, 3RD FLOOR			3. Date of Earliest Transaction (Month/Day/Year) 03/05/2014				Director 10% Owner _X Officer (give title Other (specify below) below) President			
CLININIXX/	(Street)	4. If Amendment, Date Original Filed(Month/Day/Year)				A	 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 			
SUMMIV	ALE, CA 94089					F	Person			
(City)	(State)	(Zip)	Table I - Non-	Derivative	Secur	rities Acqui	ired, Disposed of,	or Beneficiall	y Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution Data	3. te, if Transactic Code Year) (Instr. 8) Code V	oror Dispos (Instr. 3, 4	ed of (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 Stock	03/05/2014	03/05/2014		12,000	A	\$ 7.5	15,710	D		
Common Stock	03/05/2014	03/05/2014	S <u>(1)</u>	12,000	D	\$ 57.3079 (2)	3,710	D		

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

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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. Transacti Code (Instr. 8)	5. Number of orDerivative 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)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 7.5	03/05/2014	03/05/2014	М	12,000	<u>(3)</u>	09/19/2016	Common Stock	12,000

Reporting Owners

Reporting Owner Name / Address	Relationships						
1	Director	10% Owner	Officer	Other			
Raffone Lawrence M. 1050 ENTERPRISE WAY 3RD FLOOR SUNNYVALE, CA 94089			President				
Signatures							
Joanne E. Burns, Attorney-in-Fact	03/06/2014						
**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 August 22, 2013.

(2) The price reported in Col 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$56.975 to \$57.73, 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 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.