Edgar Filing: Financial Engines, Inc. - Form 4

August 05, 2014 OMB APPROVAL (Main longer subjection section 16. Image: longer subjection 6. STATEMENT OF CHANGES IN BERNEFICIATION SECURITIES Section 17.0 of the Public Utility Holding Company Act of 1934, (Main longer Section 17.0 of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940. Section 16. Section 16. Name and Address of Reporting Person 2. 2. baser Name and Ticker or Trading Symbol S. Relationship of Reporting Person(s) to lasare S. Relationship of Reporting Person(s) to lasare (Laso: (First) 0. Maddleboy (Year) S. Contracting the on- the tow) S. Contracting the on- the tow) Office (give difficities (First)) S. Contracting the on- the tow) (Gas) (Sare) (Sare) (Sare) (Sare) S. Annotation (Personing Person) S. Securities Acquired Main Main (Main Main Main (Main Main Main (Main Main (Main Main (Main Main (Main (Main Main (Main	Financial E Form 4	Engines, Inc.										
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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)	Code	TransactionDerivative		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)	\$ 7.99	08/04/2014	08/04/2014	М		15,000	<u>(3)</u>	11/09/2019	Common Stock	15,000

Reporting Owners

Reporting Owner Name / Address	Relationships						
I. S.	Director	10% Owner	Officer	Other			
Maggioncalda Jeffrey Nacey 1050 ENTERPRISE WAY 3RD FLOOR SUNNYVALE, CA 94089	Х		CEO				
Signatures							

Jeffrey C. Grace, Attorney-in-Fact For: Jeffrey N. Maggioncalda

**Signature of Reporting Person

Date

08/05/2014

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 November 13, 2013.

The price reported in Col 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$36.89 to \$37.91 inclusive. The reporting person undertakes to provide, upon request, Financial Engines, Inc., any shareholder thereof, or the

(2) to \$57.91 inclusive. The reporting person undertakes to provide, upon request, Financial Englise, inc., any shareholder unereor, of 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 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.