Edgar Filing: Financial Engines, Inc. - Form 4

Financial Eng	gines, Inc.											
Form 4												
November 12	2, 2014											
FORM	4										PPROVAL	
	UNITEDS	TATES SI				ND EXC D.C. 205		NGE (COMMISSION	OMB Number:	3235-0287	
Check thi if no long	or									Expires:	January 31,	
subject to		ENT OF C	CHANGES IN BENEFICIAL OWNI						NERSHIP OF	Estimated a	2005 average	
Section 10	б.	SECURITIES						burden hours per				
Form 4 or Form 5								response 0				
obligation	· · ·							-	e Act of 1934,			
may conti	Section 17(a)			•		•	· ·		f 1935 or Section	n		
See Instru	ction	30(h) of	the Inv	estme	nt C	Company	y Act	of 194	40			
1(b).												
(Print or Type R	(esponses)											
(F)											
1. Name and A	ddress of Reporting P	erson *	2. Issuer 1	Name a	nd T	Ticker or	Fradin	g	5. Relationship of	Reporting Per	son(s) to	
Campbell Michael Jerome			2. Issuer Name and Ticker or Trading Symbol					0	Issuer			
			Financial Engines, Inc. [FNGN]					1				
(Last) (First) (Middle)			3. Date of Earliest Transaction						(Check all applicable)			
(Lust)	(1130) (11		/Ionth/Da			isaction			Director	10%	6 Owner	
1050 ENTEI	RPRISE WAY, 31		1/11/20		,				Officer (give	title Oth	er (specify	
FLOOR	,		.,						below)	below) P, Technology		
				_	_							
(Street)			4. If Amendment, Date Original						6. Individual or Joint/Group Filing(Check			
		Fi	led(Mont	h/Day/Y	ear)				Applicable Line) _X_ Form filed by (One Reporting Pa	erson	
SUNNYVA	LE, CA 94089								Form filed by M			
Serviri									Person			
(City)	(State) (Z	Zip)	Table	I - Nor	1-De	rivative S	Securi	ties Aco	quired, Disposed of	f, or Beneficial	lly Owned	
1.Title of	2. Transaction Date			3.		4. Securi				6. Ownership		
Security	(Month/Day/Year)	Execution I						Securities Beneficially	Form: Direct	Indirect		
(Instr. 3)		any (Month/Day	any (Month/Day/Year)			CodeDisposed of (D)·)(Instr. 8)(Instr. 3, 4 and 5)				× /	Beneficial Ownership	
		(infontili Duj	<i>((</i>))	(mou.	0)	(11541.5,	i una	5)	Owned Following	(Instr. 4)	(Instr. 4)	
							(A)		Reported			
							or		Transaction(s) (Instr. 3 and 4)			
				Code	V	Amount	(D)	Price	(msu. 5 and 4)			
Common Stock	05/16/2014	05/16/201	14	G	V	600	D	\$0	24,253	D		

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 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)	\$ 31.43	11/11/2014		A	41,969	<u>(1)</u>	11/11/2024	Common Stock	41,969
Restricted Stock Units	\$ 0 <u>(2)</u>	11/11/2014		А	7,637	(3)	(4)	Common Stock	7,637

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Reporting Owners

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
Campbell Michael Jerome 1050 ENTERPRISE WAY 3RD FLOOR SUNNYVALE, CA 94089			EVP, Technology					
Signatures								
	, , , ,	AP 1 1 T						

Jeffrey C. Grace, Attorney-in-Fact For: Michael J. 11/12/2014 Campbell **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 option award vests as to 10,492 shares on 11/11/15, and the remaining shares vest monthly thereafter from 12/11/15 to 11/11/18.
- (2) Each restricted stock unit represents a contingent right to receive one share of Financial Engines, Inc. common stock.
- (3) The restricted stock units vest in four equal yearly installments beginning 4/16/2015.
- (4) No Expiration date.

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.