Financial Engines, Inc. Form 3

February 03, 2016

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number:

3235-0104

0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES**

January 31, Expires: 2005

Estimated average burden hours per

response...

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 *

A Warburg Pincus Private

Equity X, L.P.

(Last) (First) (Middle)

C/O WARBURG PINCUS LLC, 450 LEXINGTON **AVENUE**

(Street)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Statement

(Month/Day/Year) 02/01/2016

4. Relationship of Reporting

Financial Engines, Inc. [FNGN]

Person(s) to Issuer

(Check all applicable)

__X__ 10% Owner _X__ Director Officer Other (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line) Form filed by One Reporting

5. If Amendment, Date Original

Filed(Month/Day/Year)

Person

X Form filed by More than One

Reporting Person

NEW YORK, NYÂ 10017

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form: Direct (D)

or Indirect (I) (Instr. 5)

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

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

SEC 1473 (7-02)

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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

4. 5. Ownership Conversion or Exercise Form of Price of Derivative Derivative Security:

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Edgar Filing: Financial Engines, Inc. - Form 3

Date Expiration Title Amount or Security Direct (D)

Exercisable Date Number of Shares (I)

(Instr. 5)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Warburg Pincus Private Equity X, L.P. C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	ÂX	ÂX	Â	Â
Warburg Pincus X Partners, L.P. C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	ÂX	ÂX	Â	Â
Warburg Pincus X, L.P. C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	ÂX	ÂΧ	Â	Â
Warburg Pincus X GP L.P. C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	ÂX	ÂΧ	Â	Â
WPP GP LLC C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	ÂX	ÂΧ	Â	Â
Warburg Pincus Partners, L.P. C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	ÂX	ÂX	Â	Â
Warburg Pincus Partners GP LLC C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	ÂX	ÂX	Â	Â
WARBURG PINCUS & CO. C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	ÂX	ÂΧ	Â	Â
KAYE CHARLES R C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NY 10017	Â	ÂX	Â	Â

Reporting Owners 2

Landy Joseph P. C/O WARBURG PINCUS LLC 450 LEXINGTON AVENUE NEW YORK, NYÂ 10017

\hat{A} \hat{A} \hat{A} \hat{A} \hat{A}

Signatures

.			
WARBURG PINCUS PRIVATE EQUITY X, L.P., By: WP X LP, its general partner ("GP"), By: WP X GP, its GP, By: WPP GP, its GP, By: WP Partners, its managing member ("MM"), By: WPP GP LLC, its GP, By: WP, its MM, By: /s/ Robert B. Knauss, Partner			
**Signature of Reporting Person	Date		
WARBURG PINCUS X PARTNERS, L.P., By: WP X LP, its GP, By: WP X GP, its GP, By: WPP GP LLC, its GP, By: Warburg Pincus Partners, L.P., its MM, By: Warburg Pincus GP LLC, its GP, By: Warburg Pincus & Co., its MM, By: /s/ Robert B. Knauss, Partner			
**Signature of Reporting Person	Date		
WARBURG PINCUS X, L.P., By: Warburg Pincus X GP L.P., its GP, By: WPP GP LLC, its GP, By: Warburg Pincus Partners, L.P., its MM, By: Warburg Pincus Partners GP LLC, its GP, By: Warburg Pincus & Co., its MM, By: /s/ Robert B. Knauss, Partner			
**Signature of Reporting Person	Date		
WARBURG PINCUS X GP L.P., By: WPP GP LLC, its GP, By: Warburg Pincus Partners, L.P., its MM, By: Warburg Pincus Partners GP LLC, its GP, By: Warburg Pincus & Co., its MM, By: /s/ Robert B. Knauss, Partner			
**Signature of Reporting Person	Date		
WPP GP LLC, By: Warburg Pincus Partners, L.P., its Managing Member, By: Warburg Pincus Partners GP LLC, its General Partner, By: Warburg Pincus & Co., its Managing Member, By: 02/01/2016 /s/Robert B. Knauss, Partner			
**Signature of Reporting Person	Date		
WARBURG PINCUS PARTNERS, L.P., By: Warburg Pincus Partners GP LLC, its General Partner, By: Warburg Pincus & Co., its Managing Member, By: /s/ Robert B. Knauss, Partner			
**Signature of Reporting Person	Date		
WARBURG PINCUS PARTNERS GP LLC, By: Warburg Pincus & Co., its Managing Member, By: /s/ Robert B. Knauss, Partner			
**Signature of Reporting Person	Date		
WARBURG PINCUS & CO., By: /s/ Robert B. Knauss, Partner			
**Signature of Reporting Person	Date		
CHARLES R. KAYE, By: /s/ Robert B. Knauss, Attorney-in-Fact*			
**Signature of Reporting Person	Date		
JOSEPH P. LANDY, By: /s/ Robert B. Knauss, Attorney-in-Fact*			
**Signature of Reporting Person	Date		

Explanation of Responses:

No securities are beneficially owned

- * If the form is filed by more than one reporting person, *see* Instruction 5(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).

Signatures 3

Edgar Filing: Financial Engines, Inc. - Form 3

Â

Remarks:

Exhibit 99.1 to this Form 3 is incorporated herein by reference. Due to limitations on the number.

Due to the limitations on the number of Reporting Persons allowed on each Form 3, WPÂ LLCÂ is

 $*\hat{A}\ Power\hat{A}\ of\hat{A}\ Attorney\hat{A}\ given\hat{A}\ by\hat{A}\ each\hat{A}\ of\hat{A}\ Mr.\hat{A}\ Kaye\hat{A}\ and\hat{A}\ Mr.\hat{A}\ Landy\hat{A}\ was\hat{A}\ previously\hat{A}\ filed\hat{A}\ with\hat{A}\ the\hat{A}$

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.