

Financial Engines, Inc.  
Form 4  
November 23, 2016

**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 \*  
Antone Lewis JR

(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)  
11/22/2016

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)  
EVP, General Counsel and Sec.

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)	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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	11/22/2016		M		425 A \$ 0	2,540	D
Common Stock	11/22/2016		F		139 D \$ 34.9	2,401	D
Common Stock	11/22/2016		M		839 A \$ 0	3,240	D
Common Stock	11/22/2016		F		274 D \$ 34.9	2,966	D
Common Stock	11/22/2016		M		951 A \$ 0	3,917	D

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Common Stock      11/22/2016      F      310      D      \$ 34.9      3,607      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. 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)	8. Price or Derivative Security (Instr. 3)
				Code	V (A) (D)	Date Exercisable      Expiration Date	Title	Amount or Number of Shares
Restricted Stock Units	\$ 0 <sup>(1)</sup>	11/22/2016		M	425	<sup>(2)</sup> <sup>(3)</sup>	Common Stock	425      \$ 0
Restricted Stock Units	\$ 0 <sup>(1)</sup>	11/22/2016		M	951	<sup>(4)</sup> <sup>(3)</sup>	Common Stock	951      \$ 0
Restricted Stock Units	\$ 0 <sup>(1)</sup>	11/22/2016		M	839	<sup>(5)</sup> <sup>(3)</sup>	Common Stock	839      \$ 0

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director    10% Owner    Officer    Other
Antone Lewis JR 1050 ENTERPRISE WAY 3RD FLOOR SUNNYVALE, CA 94089	EVP, General Counsel and Sec.

## Signatures

/s/ Jeffery C. Grace, Attorney-in-Fact for Lewis  
Antone Jr.

11/23/2016

\_\_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) Each restricted stock unit represents a contingent right to receive one share of Financial Engines, Inc. common stock.
  - (2) The restricted stock units vest in four annual installments beginning 11/22/14.
  - (3) No expiration date.
  - (4) The restricted stock units vest in four annual installments beginning 11/22/15.
  - (5) The restricted stock units vest in four annual installments beginning 11/22/16.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.  
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