Edgar Filing: Financial Engines, Inc. - Form 4

Financial Engines, Inc.

Form 4												
November 23												
FORM	$ 4 _{\text{UNITED}}$	статгс	SECUD	TTIES /	• •	ID EVC	LIAN		COMMISSION		PPROVAL	
-		SIAIES		hington				IGE (.01v11v1155101N	OMB Number:	3235-0287	
Check thi if no long subject to Section 1 Form 4 of	F CHAN	CHANGES IN BENEFICIAL OWN SECURITIES						Expires: Estimated a burden hou	•			
Form 5 obligation may cont <i>See</i> Instru 1(b).	Filed pu s Section 17	(a) of the		ility Hol	di	ng Com	pany	Act of	e Act of 1934, f 1935 or Sectio 40	response n	0.5	
(Print or Type F	Responses)											
1. Name and Address of Reporting Person _ 2. Issuer Sims Raymond J. Symbol			er Name and Ticker or Trading					5. Relationship of Reporting Person(s) to Issuer				
Financ				cial Engines, Inc. [FNGN]					(Check all applicable)			
(Last) 1050 ENTE FLOOR	(First)	(Middle) 3RD	3. Date of (Month/D 11/23/20	ay/Year)	`rar	nsaction			Director XOfficer (give below)	10%	o Owner er (specify	
	(Street)		4. If Amer Filed(Mon			original			6. Individual or Jo Applicable Line) _X_ Form filed by 0	-	-	
SUNNYVA	LE, CA 94089								Form filed by M Person	Iore than One Re	eporting	
(City)	(State)	(Zip)	Table	e I - Non-l	De	rivative S	ecurit	ies Acq	uired, Disposed of	f, or Beneficial	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction Da (Month/Day/Year	r) Executio any	med on Date, if Day/Year)	3. Transact Code (Instr. 8)	ion	4. Securiti (A) or Dis (D) (Instr. 3, 4	and 5 (A)	of	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
G				Code V	V	Amount	or (D)	Price	(Instr. 3 and 4)			
Common Stock	11/23/2016			S <u>(1)</u>		10,000	А	\$ 35	6,225	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)	4. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,	(Month/Day/Year) tive ties red		Amou Unde Secur	le and unt of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
			Code V	4, and 5) (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

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Reporting Owners

Reporting Owner Name / Addr	ess	Relationships								
	Director	10% Owner	Officer	Other						
Sims Raymond J. 1050 ENTERPRISE WAY 3RD FLOOR SUNNYVALE, CA 94089			EVP & CFO							
Signatures										
Raymond J. Sims	11/23/2016									
<u>**</u> 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 May 13, 2016.

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.