Edgar Filing: Financial Engines, Inc. - Form 4

Financial En	gines, Inc.											
Form 4												
February 29,	2016											
FORM 4 UNITED STATES SECURITIES AND EXCL									OMB AF	OMB APPROVAL		
	• • UNITED S	STATES		ATTIES A			NGE C	OMMISSION	OMB Number:	3235-0287		
Check th if no long subject to Section 1 Form 4 o	6.	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES								Expires:January 31 2005Estimated average burden hours per response0.5		
Form 5 obligations may continue. See Instruction 1(b). 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)												
		. *						5 D L (* 1* 6				
1. Name and Address of Reporting Person <u>*</u> Raffone Lawrence M.			2. Issuer Name and Ticker or Trading Symbol Financial Engines, Inc. [FNGN]				-	5. Relationship of Reporting Person(s) to Issuer				
(Lost)	(First)	c - (Check				k all applicable)						
(Last) (First) (Middle) 1050 ENTERPRISE WAY, 3RD FLOOR			3. Date of Earliest Transaction (Month/Day/Year)02/26/2016					X Director 10% Owner X Officer (give title Other (specify below) below) CEO & President				
				If Amendment, Date Original ed(Month/Day/Year)				 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 				
SUNNYVA	LE, CA 94089							Person	lore than One Re	porting		
(City)	(State)	(Zip)	Tabl	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned		
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	ransaction Date 2A. Deer nth/Day/Year) Executio any (Month/I		3. Transactic Code (Instr. 8)	Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)			
_				Code V	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)				
Common Stock	02/26/2016	02/26/2	016	М	3,016	А	\$0	29,209	D			
Common Stock	02/26/2016	02/26/2	016	F	982	D	\$ 24.59	28,227	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)	e 3A. Deemed Execution Date, if any (Month/Day/Year)	Code	5. Number ionof Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration Date		Underlying Securities (Instr. 3 and 4)		8. Pr Deriv Secu (Inst
				Code V	7 (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units	\$ 0 <u>(1)</u>	02/26/2016	02/26/2016	М	3,016	(2)	(3)	Common Stock	3,016	\$

Reporting Owners

Reporting Owner Name / Address	Relationships						
r. o	Director	10% Owner	Officer	Other			
Raffone Lawrence M. 1050 ENTERPRISE WAY 3RD FLOOR SUNNYVALE, CA 94089	Х		CEO & President				
Signatures							

/s/ Jeffrey C. Grace, Attorney-in-Fact For: Lawrence M. 02/29/2016 Raffone

<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) 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 2/26/15.
- (3) 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.