

Financial Engines, Inc.

Form 4

March 23, 2010

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
KRAMLICH C RICHARD

(Last) (First) (Middle)

**1954 GREENSPRING
DRIVE, SUITE 600**

(Street)

TIMONIUM, MD 21093

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Financial Engines, Inc. [FNGN]

3. Date of Earliest Transaction
(Month/Day/Year)
03/19/2010

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)

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 Indirect Beneficial Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)	Price			
Common Stock	03/19/2010		C		3,120,744	A	<u>11</u>	4,068,257	I	See Note 2 <u>(2)</u>
Common Stock	03/19/2010		J ⁽⁴⁾		6,635	A	<u>(4)</u>	4,074,892	I	See Note 2 <u>(2)</u>
Common Stock	03/19/2010		C		33,333	A	<u>11</u>	624,000	I	See Note 3 <u>(3)</u>
Common Stock	03/19/2010		C		49,093	A	<u>11</u>	49,093	I	See Note 5 <u>(5)</u>

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

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(9-02)

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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Series A Preferred Stock	(1)	03/19/2010		C	33,333	(1)	(1)	Common Stock	33,333
Series B Preferred Stock	(1)	03/19/2010		C	1,157,964	(1)	(1)	Common Stock	1,157,964
Series B Preferred Stock	(1)	03/19/2010		C	40,069	(1)	(1)	Common Stock	40,069
Series C Preferred Stock	(1)	03/19/2010		C	395,899	(1)	(1)	Common Stock	395,899
Series D Preferred Stock	(1)	03/19/2010		C	532,426	(1)	(1)	Common Stock	532,426
Series D Preferred Stock	(1)	03/19/2010		C	9,024	(1)	(1)	Common Stock	9,024
Series E Preferred Stock	(1)	03/19/2010		C	109,026	(1)	(1)	Common Stock	109,026
Series F Preferred Stock	(1)	03/19/2010		C	925,429	(1)	(1)	Common Stock	925,429

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other

KRAMLICH C RICHARD
1954 GREENSPRING DRIVE
SUITE 600
TIMONIUM, MD 21093

X X

Signatures

/s/ Shawn Conway,
attorney-in-fact

03/23/2010

__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).

Each share of the Series A Preferred Stock, Series B Preferred Stock, Series C Preferred Stock, Series D Preferred Stock, Series E

- (1) Preferred Stock and Series F Preferred Stock automatically converted into the issuer's Common Stock on a one for one basis upon the closing of the issuer's initial public offering on March 19, 2010 and had no expiration date.

The Reporting Person is a general partner of NEA Partners VII, Limited Partnership, the sole general partner of New Enterprise Associates VII, Limited Partnership ("New Enterprise Associates VII"), which is the direct beneficial owner of the shares. The Reporting

- (2) Person disclaims beneficial ownership within the meaning of Section 16 of the Securities Exchange Act of 1934, as amended (the "1934 Act"), or otherwise of the securities of the issuer held by New Enterprise Associates VII in which the Reporting Person has no pecuniary interest therein.

The Reporting Person is a general partner of NEA Partners 9, Limited Partnership, the sole general partner of New Enterprise Associates

- (3) 9, Limited Partnership ("NEA 9"), which is the direct beneficial owner of the shares. The Reporting Person disclaims beneficial ownership within the meaning of Section 16 of the 1934 Act or otherwise of the securities of the issuer held by NEA 9 in which the Reporting Person has no pecuniary interest therein.

- (4) New Enterprise Associates VII received an additional 6,635 shares of the issuer's Common Stock in connection with the conversion, on a one for one basis, of shares of Series E Preferred Stock.

The Reporting Person is a general partner of NEA General Partners, L.P., the sole general partner of NEA Presidents' Fund, L.P. ("NEA Presidents' Fund"), which is the direct beneficial owner of the shares. The Reporting Person disclaims beneficial ownership within the

- (5) meaning of Section 16 of the 1934 Act or otherwise of the securities of the issuer held by NEA Presidents' Fund in which the Reporting Person has no pecuniary interest therein.

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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