

O'Brien Shelly  
 Form 4  
 August 04, 2017

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

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 \*

O'Brien Shelly

(Last) (First) (Middle)

35 EAST WACKER DRIVE, SUITE 2400

(Street)

CHICAGO, IL 60601

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

ENVESTNET, INC. [ENV]

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

08/02/2017

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)  
 Chief Legal Officer

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. 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)
				(A) or (D) Price			
Common Stock	08/02/2017		M <sup>(8)</sup>	2,083 A \$ 0	14,136	D	
Common Stock	08/02/2017		F <sup>(9)</sup>	952 D \$ 0	13,184	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.**

SEC 1474 (9-02)

Edgar Filing: O'Brien Shelly - Form 4

**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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 7.15					05/15/2010 <sup>(1)</sup>	05/15/2019	Common Stock	2,000
Employee Stock Option (Right to Buy)	\$ 9					07/28/2011 <sup>(1)</sup>	07/28/2020	Common Stock	18,360
Employee Stock Option (Right to Buy)	\$ 12.55					02/28/2012 <sup>(1)</sup>	02/28/2021	Common Stock	3,330
Employee Stock Option (Right to Buy)	\$ 12.45					02/28/2013 <sup>(1)</sup>	02/28/2022	Common Stock	3,390 <sup>(10)</sup>
Employee Stock Option (Right to Buy)	\$ 15.34					02/28/2014 <sup>(1)</sup>	02/28/2023	Common Stock	7,150
Employee Stock Option (Right to Buy)	\$ 41.84					02/28/2015 <sup>(1)</sup>	02/28/2024	Common Stock	5,500
Employee Stock Option	\$ 53.88					02/29/2016 <sup>(1)</sup>	02/27/2025	Common Stock	4,800

(Right to Buy)									
Employee Stock Option (Right to Buy)	\$ 20.51				02/28/2017 <sup>(2)</sup>	02/28/2026	Common Stock	2,464	
Employee Stock Option (Right to Buy)	\$ 31.7				03/28/2018 <sup>(2)</sup>	03/28/2027	Common Stock	1,667	
Restricted Stock Units	<sup>(3)</sup>				<sup>(5)</sup>	02/28/2018	Common Stock	1,067 <sup>(4)</sup>	
Restricted Stock Units	<sup>(3)</sup>				<sup>(6)</sup>	02/28/2019	Common Stock	1,438 <sup>(4)</sup>	
Restricted Stock Units	<sup>(3)</sup>	08/02/2017		M	2,083	<sup>(7)</sup>	08/02/2019	Common Stock	2,083
Restricted Stock Units	<sup>(3)</sup>					<sup>(6)</sup>	03/28/2020	Common Stock	5,000 <sup>(4)</sup>

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
O'Brien Shelly 35 EAST WACKER DRIVE SUITE 2400 CHICAGO, IL 60601			Chief Legal Officer	

## Signatures

/s/ Shelly O'Brien 08/04/2017

\*\*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) This option grant vests over a 3 year period; one-third of the total amount vests on each anniversary of the date of grant.
- (2)

## Edgar Filing: O'Brien Shelly - Form 4

This option grant vests over a 3 year period; one-third of the total amount vests on the first anniversary of the date of grant and one-twelfth of the total amount vests on each three-month anniversary of the date of grant thereafter.

- (3) Each restricted stock unit is the economic equivalent of one share of Envestnet, Inc. Common Stock.
- (4) Each restricted stock unit represents the contingent right to receive one share of common stock upon the vesting of the unit.
- (5) These restricted stock units vest over a 3-year period; one-third of the total amount vests on each anniversary of the date of grant.
- (6) These restricted stock units vest over a 3 -year period; one-third of the total amount vests on the first anniversary of the date of the grant of restricted stock units and then one-twelfth of the total amount vests on each three-month anniversary of the date of grant thereafter.
- (7) These restricted stock units vest over a 3 -year period; one-twelfth of the total amount vests on each three-month anniversary of the date of grant.

- (8) Represents the issuance of Envestnet, Inc. common stock upon the vesting of restricted stock units effective August 2, 2017 (the "August Vested Restricted Stock Units"). The reporting person was granted 25,000 restricted stock units on August 2, 2016 of which one-twelfth of the total amount vested on August 2, 2017. Such restricted stock units were previously reported in Table II on a Form 4 filed with the Securities and Exchange Commission on August 4, 2016.

- (9) The reporting person is reporting the withholding by Envestnet, Inc. of 952 shares of common stock to satisfy the reporting person's tax withholding obligations in connection with the vesting for tax purposes of the August Vested Restricted Stock Units to the reporting person on August 2, 2017.
- (10) This total corrects the number of shares issuable upon the exercise of this option, which due to administrative error was incorrectly reported as 3,339 shares in the Form 4 filed on March 3, 2015.

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.