ENVESTNET, INC.

Form 4 March 12, 2015

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** 

**OMB APPROVAL** 

3235-0287 Number:

January 31, Expires: 2005

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if no longer subject to Section 16. Form 4 or Form 5

Check this box

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

Stock

(Print or Type Responses)

1. Name and A Crager Will	Symbol	2. Issuer Name <b>and</b> Ticker or Trading Symbol ENVESTNET, INC. [ENV]		5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)			
(Last)	(First)	Middle) 3. Date	of Earliest T	ransaction	(Check all applicable)		
35 EAST W 2400	`	Day/Year) 2015		Director 10% Owner Selection of the control of t			
	4. If An	4. If Amendment, Date Original		6. Individual or Joint/Group Filing(Check			
CHICAGO	Filed(M	onth/Day/Yea	r)	Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City)	(State)	(Zip) Ta	ble I - Non-l	Derivative Securities Acq	quired, Disposed o	f, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Data (Month/Day/Year)		Code	4. Securities Acquired on(A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)

Reported (Instr. 4) (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Common 39,999 03/10/2015 M A \$ 7.5 176,199 D (2) Stock \$ Common 39,999 03/10/2015 S D 51.95 136,200 D Stock (2) (3) Common 100 I

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form

By wife

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# $\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$

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. Transactic Code (Instr. 8)	5. Number of or 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 Amo Underlying Secur (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	An Nu Sha
Employee Stock Option (Right to Buy)	\$ 5					02/01/2006(1)(4)	11/14/2015	Common Stock	8
Employee Stock Option (Right to Buy)	\$ 7.5	03/10/2015		M	39,999	02/01/2006(4)	11/14/2015	Common Stock	1:
Employee Stock Option (Right to Buy)	\$ 0.1069					04/26/2007(5)	04/26/2017	Common Stock	2
Employee Stock Option (Right to Buy)	\$ 1.075					04/26/2007(5)	04/26/2017	Common Stock	20
Employee Stock Option (Right to Buy)	\$ 7.5					04/26/2007 <sup>(5)</sup>	04/26/2017	Common Stock	80
Employee Stock Option (Right to Buy)	\$ 7.5					04/30/2009(6)	04/30/2018	Common Stock	1
Employee Stock	\$ 7.15					05/15/2010(6)	05/15/2019	Common Stock	11

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Option (Right to Buy)					
Employee Stock Option (Right to Buy)	\$ 9	07/28/2011(5)	07/28/2020	Common Stock	16
Employee Stock Option (Right to Buy)	\$ 12.55	02/28/2012(5)	02/28/2021	Common Stock	2:
Employee Stock Option (Right to Buy)	\$ 12.45	02/28/2013(5)	02/28/2022	Common Stock	1:
Employee Stock Option (Right to Buy)	\$ 15.34	02/28/2014(5)	02/28/2023	Common Stock	1:
Employee Stock Option (Right to Buy)	\$ 41.84	02/28/2015(5)	02/28/2024	Common Stock	14
Employee Stock Option (Right to Buy)	\$ 53.88	02/29/2016(5)	02/28/2025	Common Stock	1
Restricted Stock Award	<u>(7)</u>	02/29/2016(9)	02/29/2016	Common Stock	1,8
Restricted Stock Award	(7)	02/29/2016(9)	02/28/2017	Common Stock	5,9
Restricted Stock Award	<u>(7)</u>	02/29/2016(9)	02/28/2018	Common Stock	7,0

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Crager William

35 EAST WACKER DRIVE

President

SUITE 2400 CHICAGO, IL 60601

## **Signatures**

/s/ Shelly O'Brien, by power of attorney for William Crager

03/12/2015

\*\*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) A total of 80,000 options were granted on 11/14/2005. 53,334 options were vested and exercisable as of 3/10/2015.
- (2) Option exercise and sale pursuant to a 10b5-1 plan.
- (3) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$51.46 to 53.92, inclusive.
- Original option grant vests in four installments beginning on February 1, 2006 and the remaining three installments on May 31 as listed in the "Date Exercisable" column.
- Original option grant vests in three installments beginning on the first anniversary of the date of grant as listed in the "Date Exercisable"
- (6) Original option grant vests in four installments beginning on the first anniversary of the date of grant as listed in the "Date Exercisable" column.
- (7) Each restricted stock award is the economic equivalent of one share of Envestnet, Inc. Common Stock
- (8) Each restricted award represents the contingent right to receive one share of common stock upon the vesting of the unit.
- (9) This restricted stock award vests in three equal installments annually beginning on the first anniversary of the date of the grant of restricted stock.

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.

Reporting Owners 4