

ENVESTNET, INC.
Form 4
September 30, 2015

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 *
Bergman Judson

(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)
09/30/2015

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 Executive 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. 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 Ownership (Instr. 4)
Common Stock	09/30/2015		M	(A) or (D) A	10,000 (2) \$ 7.5	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)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

Edgar Filing: ENVESTNET, INC. - Form 4

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 Security (Instr. 3 and 4)	Amount of Underlying Security	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount of Underlying Security
Employee Stock Option (Right to Buy)	\$ 7.5	09/30/2015		M	10,000	04/26/2007 ⁽¹⁾⁽³⁾	04/26/2017	Common Stock	20
Employee Stock Option (Right to Buy)	\$ 7.5					04/30/2009 ⁽³⁾	04/30/2018	Common Stock	3
Employee Stock Option (Right to Buy)	\$ 7.15					05/15/2010 ⁽³⁾	05/15/2019	Common Stock	1
Employee Stock Option (Right to Buy)	\$ 9					07/28/2011 ⁽⁴⁾	07/28/2020	Common Stock	37
Employee Stock Option (Right to Buy)	\$ 12.55					02/28/2012 ⁽⁴⁾	02/28/2021	Common Stock	1
Employee Stock Option (Right to Buy)	\$ 12.45					02/28/2013 ⁽⁴⁾	02/28/2022	Common Stock	7
Employee Stock Option (Right to Buy)	\$ 15.34					02/28/2014 ⁽⁴⁾	02/28/2023	Common Stock	9
Employee Stock	\$ 41.84					02/28/2015 ⁽⁴⁾	02/28/2024	Common Stock	2

Option
(Right to
Buy)

Employee
Stock

Option \$ 53.88
(Right to
Buy)

02/29/2016⁽⁴⁾ 02/28/2025 Common
Stock

Restricted
Stock
Award

(5)

02/29/2016⁽⁶⁾ 02/29/2016 Common
Stock 1,3

Restricted
Stock
Award

(5)

02/29/2016⁽⁶⁾ 02/28/2017 Common
Stock 8,4

Restricted
Stock
Award

(5)

02/29/2016⁽⁶⁾ 02/28/2018 Common
Stock 1

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bergman Judson 35 EAST WACKER DRIVE SUITE 2400 CHICAGO, IL 60601	X		Chief Executive Officer	

Signatures

/s/ Shelly O'Brien, by power of attorney for Judson
Bergman 09/30/2015

__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 200,000 options were granted on 11/14/2005. 190,000 options were vested and exercisable as of September 30, 2015.
- (2) Option exercise and hold.
- (3) Original option grant vests in three installments beginning on the first anniversary of the date of grant as listed in the "Date Exercisable" column.
- (4) Original option grant vests in four installments beginning on the first anniversary of the date of grant as listed in the "Date Exercisable" column.
- (5) Each restricted stock award is the economic equivalent of one share of Envestnet, Inc. Common Stock
- (6) Each restricted award represents the contingent right to receive one share of common stock upon the vesting of the unit.
- (7) This restricted stock award vests in three equal installments annually beginning on the first anniversary of the date of the grant of restricted stock.

Edgar Filing: ENVESTNET, INC. - Form 4

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.