

ENVESTNET, INC.

Form 4

April 02, 2015

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
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(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)
04/01/2015

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 Indirect Beneficial (Instr. 4)
Common Stock	04/01/2015		M	983 ⁽²⁾	A \$ 5 595,197	D	
Common Stock	04/01/2015		S	983 ⁽²⁾	D \$ 53.68 594,214	D	
Common Stock	04/01/2015		M	17,557 ⁽²⁾	A \$ 5 611,771	D	
Common Stock	04/01/2015		S	17,557 ⁽²⁾	D \$ 54.42 594,214	D	
	04/01/2015		M		A \$ 5 605,674	D	

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Common Stock				11,460 (2)			
Common Stock	04/01/2015	S		11,460 (2)	D	\$ 55.41	594,214 (5)

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

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SEC 1474
(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 Underlying Security (Instr. 3 and 4)	Amount Owned
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Employee Stock Option (Right to Buy)	\$ 5	04/01/2015		M	30,000	02/01/2006 ⁽¹⁾⁽⁶⁾	11/14/2015	Common Stock
Employee Stock Option (Right to Buy)	\$ 7.5					04/26/2007 ⁽⁷⁾	04/26/2017	Common Stock
Employee Stock Option (Right to Buy)	\$ 7.5					04/30/2009 ⁽⁶⁾	04/30/2018	Common Stock
Employee Stock Option (Right to Buy)	\$ 7.15					05/15/2010 ⁽⁶⁾	05/15/2019	Common Stock
Employee Stock Option	\$ 9					07/28/2011 ⁽⁸⁾	07/28/2020	Common Stock

(Right to
Buy)Employee
Stock

Option \$ 12.55

(Right to
Buy)02/28/2012⁽⁷⁾

02/28/2021

Common
Stock 1Employee
Stock

Option \$ 12.45

(Right to
Buy)02/28/2013⁽⁷⁾

02/28/2022

Common
Stock 7Employee
Stock

Option \$ 15.34

(Right to
Buy)02/28/2014⁽⁷⁾

02/28/2023

Common
Stock 9Employee
Stock

Option \$ 41.84

(Right to
Buy)02/28/2015⁽⁷⁾

02/28/2024

Common
Stock 2Employee
Stock

Option \$ 53.88

(Right to
Buy)02/29/2016⁽⁷⁾

02/28/2025

Common
Stock 1Restricted
Stock
Award(9)02/29/2016⁽¹⁰⁾

02/29/2016

Common
Stock 1Restricted
Stock
Award(9)02/29/2016⁽¹⁰⁾

02/28/2017

Common
Stock 8Restricted
Stock
Award(9)02/29/2016⁽¹⁰⁾

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

04/02/2015

__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 170,000 options were granted on 11/14/2005. 70,000 options were vested and exercisable as of April 1, 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 \$53.541 to \$53.96 inclusive.
- (4) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$54.00 to \$54.92, inclusive.
- (5) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$55.041 to \$55.79, inclusive.
- (6) 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.
- (7) Original option grant vests in three installments beginning on the first anniversary of the date of grant as listed in the "Date Exercisable" column.
- (8) Original option grant vests in four installments beginning on the first anniversary of the date of grant as listed in the "Date Exercisable" column.
- (9) Each restricted stock award is the economic equivalent of one share of Envestnet, Inc. Common Stock
- (10) Each restricted award represents the contingent right to receive one share of common stock upon the vesting of the unit.
- (11) 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.

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