O'Brien Shelly Form 4 September 29, 2017

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB APPROVAL OMB** 

Number:

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**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations

may continue. See Instruction

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * O'Brien Shelly			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 Transaction	(Siech all applicable)		
			(Month/Day/Year)	Director 10% Owner		
35 EAST WACKER DRIVE, SUITE 2400			09/27/2017	X Officer (give title Other (specify below) Chief Legal Officer		
	(Street)		4. If Amendment, Date Original	6. Individual or Joint/Group Filing(Check		
			Filed(Month/Day/Year)	Applicable Line) _X_ Form filed by One Reporting Person		
CHICAGO, I	L 60601			Form filed by More than One Reporting Person		

(City)	(State)	(Zip) Tabl	e I - Non-D	erivative	Secur	ities Acqu	uired, Disposed o	f, or Beneficial	ly 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. Securi on(A) or D (Instr. 3,	ispose 4 and (A) or	d of (D)	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)
Common Stock	09/27/2017		M(8)	2,000	A	·	15,292	D	
Common Stock	09/27/2017		S(8)	2,000	D	\$ 49.96 (9)	13,292	D	

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 displays a currently valid OMB control number.

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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)	Secu Acqu (A) o Disp (D)	orities uired or osed of r. 3, 4,	6. Date Exercisab Expiration Date (Month/Day/Year		7. Title and Underlying (Instr. 3 and	Securities
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amoun or Numbe of Shar
Employee Stock Option (Right to Buy)	\$ 7.15	09/27/2017		M(8)		2,000	05/15/2010(1)	05/15/2019	Common Stock	2,000
Employee Stock Option (Right to Buy)	\$ 9						07/28/2011(1)	07/28/2020	Common Stock	18,36
Employee Stock Option (Right to Buy)	\$ 12.55						02/28/2012(1)	02/28/2021	Common Stock	3,333
Employee Stock Option (Right to Buy)	\$ 12.45						02/28/2013(1)	02/28/2022	Common Stock	3,399
Employee Stock Option (Right to Buy)	\$ 15.34						02/28/2014(1)	02/28/2023	Common Stock	7,150
Employee Stock Option (Right to Buy)	\$ 41.84						02/28/2015(1)	02/28/2024	Common Stock	5,500
Employee Stock Option	\$ 53.88						02/29/2016(1)	02/27/2025	Common Stock	4,800

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(Right to Buy)					
Employee Stock Option (Right to Buy)	\$ 20.51	02/28/2017(2)	02/28/2026	Common Stock	2,464
Employee Stock Option (Right to Buy)	\$ 31.7	03/28/2018(2)	03/28/2027	Common Stock	1,66
Restricted Stock Units	<u>(3)</u>	<u>(5)</u>	02/28/2018	Common Stock	1,067 (4)
Restricted Stock Units	<u>(3)</u>	<u>(6)</u>	02/28/2019	Common Stock	1,233 (4)
Restricted Stock Units	<u>(3)</u>	<u>(7)</u>	08/02/2019	Common Stock	16,66 (4)
Restricted Stock Units	(3)	<u>(6)</u>	03/28/2020	Common Stock	5,000 (4)

# **Reporting Owners**

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

## **Signatures**

/s/ Shelly O'Brien	09/29/2017		
**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)** 

Reporting Owners 3

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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.
- 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) Reflects cashless exercise of stock options which were granted pursuant to Rule 16b-3.
- (9) The Common Shares reported herein as being sold were sold at a range of between \$49.955 and \$50.10 per share. The sale price reported above represents the weighted average sale price for the reported transaction and has been rounded to the nearest cent.

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.