

ENVESTNET, INC.
Form 4
September 30, 2015

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 | Amount (D) 10,000 (2) Price \$ 7.5 | D | 634,214 |

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)

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| 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

Restricted
Stock
Award

(5)

02/29/2016⁽⁶⁾ 02/28/2017

Common
Stock

Restricted
Stock
Award

(5)

02/29/2016⁽⁶⁾ 02/28/2018

Common
Stock

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.

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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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