

ENVESTNET, INC.
Form 4
April 16, 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 *
Crager William

(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)
04/14/2015

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)
President

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)
			Code	V	Amount or Price (A) or (D)		
Common Stock	04/14/2015		M		7,942 ⁽³⁾	A	\$ 5 128,258 D
Common Stock	04/14/2015		S		7,942 ⁽³⁾	D	\$ 55.53 136,200 D
Common Stock	04/14/2015		M		5,389 ⁽³⁾	A	\$ 5 144,142 D
Common Stock	04/14/2015		S		5,389 ⁽³⁾	D	\$ 54.81 136,200 D
	04/14/2015		M		2 ⁽³⁾	A	\$ 7.5 136,202 D

Edgar Filing: ENVESTNET, INC. - Form 4

Common Stock								
Common Stock	04/14/2015		S	2 ⁽³⁾	D	\$ 55	136,200	D
Common Stock							100	I By wife

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)

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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	An Nu Sha
Employee Stock Option (Right to Buy)	\$ 5	04/14/2015		M	13,331	02/01/2006 ⁽¹⁾ (6)	11/14/2015	Common Stock	6
Employee Stock Option (Right to Buy)	\$ 7.5	04/14/2015		M	2	02/01/2006 ⁽²⁾ (6)	11/14/2015	Common Stock	
Employee Stock Option (Right to Buy)	\$ 0.1069					04/26/2007 ⁽⁷⁾	04/26/2017	Common Stock	2
Employee Stock Option (Right to Buy)	\$ 1.075					04/26/2007 ⁽⁷⁾	04/26/2017	Common Stock	2
	\$ 7.5					04/26/2007 ⁽⁷⁾	04/26/2017		8

Edgar Filing: ENVESTNET, INC. - Form 4

Employee Stock Option (Right to Buy)				Common Stock	
Employee Stock Option (Right to Buy)	\$ 7.5		04/30/2009 ⁽⁸⁾	04/30/2018	Common Stock 14
Employee Stock Option (Right to Buy)	\$ 7.15		05/15/2010 ⁽⁸⁾	05/15/2019	Common Stock 15
Employee Stock Option (Right to Buy)	\$ 9		07/28/2011 ⁽⁷⁾	07/28/2020	Common Stock 16
Employee Stock Option (Right to Buy)	\$ 12.55		02/28/2012 ⁽⁷⁾	02/28/2021	Common Stock 20
Employee Stock Option (Right to Buy)	\$ 12.45		02/28/2013 ⁽⁷⁾	02/28/2022	Common Stock 18
Employee Stock Option (Right to Buy)	\$ 15.34		02/28/2014 ⁽⁷⁾	02/28/2023	Common Stock 19
Employee Stock Option (Right to Buy)	\$ 41.84		02/28/2015 ⁽⁷⁾	02/28/2024	Common Stock 14
Employee Stock Option (Right to Buy)	\$ 53.88		02/29/2016 ⁽⁷⁾	02/28/2025	Common Stock 1
	<u>(9)</u>		02/29/2016 ⁽¹¹⁾	02/29/2016	

Restricted
Stock
Award

Common
Stock

Restricted
Stock (9)
Award

02/29/2016⁽¹¹⁾ 02/28/2017

Common
Stock

Restricted
Stock (9)
Award

02/29/2016⁽¹¹⁾ 02/28/2018

Common
Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Crager William 35 EAST WACKER DRIVE SUITE 2400 CHICAGO, IL 60601			President	

Signatures

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

04/16/2015

**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. 80,000 options were vested and exercisable as of 4/14/2015.
- (2) A total of 80,000 options were granted on 11/14/2005. 2 options were vested and exercisable as of 4/14/2015.
- (3) Option exercise and sale pursuant to a 10b5-1 plan.
- (4) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$55 to \$55.63, inclusive.
- (5) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$54.48 to \$54.98, 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.

Edgar Filing: ENVESTNET, INC. - Form 4

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.