

ENVESTNET, INC.
Form 4
December 29, 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 *
Thomas Brandon

(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)
12/24/2015

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 Investment 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)
				(A) or (D)	Price		
Common Stock	12/24/2015		M	12,000	A \$ 7.5	242,421	D
Common Stock	12/24/2015		S	12,000	D \$ 30.77 (2)	230,421	D
Common Stock	12/28/2015		M	9,000	A \$ 7.5	239,421	D
Common Stock	12/28/2015		S	9,000	D \$ 30.51 (11)	230,421	D
	12/28/2015		M	6,000	A \$ 7.15	236,421	D

Edgar Filing: ENVESTNET, INC. - Form 4

Common Stock								
Common Stock	12/28/2015	S	6,000	D	\$ 30.51 (13)	230,421	D	
Common Stock	12/29/2015	M	35,000	A	\$ 9	265,421	D	
Common Stock	12/29/2015	S	35,000	D	\$ 30.25 (15)	230,421	D	
Common Stock						13,938	I	See footnote (3)

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
Employee Stock Option (Right to Buy)	\$ 7.5	12/24/2015		S	12,000	04/26/2007 ⁽¹⁾⁽⁴⁾	04/26/2017	Common Stock
Employee Stock Option (Right to Buy)	\$ 7.5	12/28/2015		S	9,000	04/30/2008 ⁽¹⁰⁾⁽⁴⁾	04/30/2018	Common Stock
Employee Stock Option	\$ 7.15	12/28/2015		S	6,000	04/30/2009 ⁽¹²⁾⁽⁵⁾	04/30/2019	Common Stock

(Right to Buy)									
Employee Stock Option (Right to Buy)	\$ 9	12/29/2015	S	35,000	07/28/2011 ⁽¹⁴⁾⁽⁴⁾	02/28/2020	Common Stock	6	
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	8	
Employee Stock Option (Right to Buy)	\$ 41.84				02/28/2015 ⁽⁴⁾	02/28/2024	Common Stock	6	
Employee Stock Option (Right to Buy)	\$ 53.88				02/29/2016 ⁽⁶⁾	02/28/2025	Common Stock	4	
Restricted Stock Award	(7)				02/29/2016 ⁽⁹⁾	02/28/2016	Common Stock	1	
Restricted Stock Award	(7)				02/29/2016 ⁽⁹⁾	02/28/2017	Common Stock	2	
Restricted Stock Award	(7)				02/29/2016 ⁽⁹⁾	02/28/2018	Common Stock	3	

Reporting Owners

Reporting Owner Name / Address

Relationships

Edgar Filing: ENVESTNET, INC. - Form 4

Director 10% Owner Officer Other

Thomas Brandon
35 EAST WACKER DRIVE
SUITE 2400
CHICAGO, IL 60601

Chief Investment Officer

Signatures

/s/ Shelly O'Brien, by power of attorney for Brandon
Thomas

12/29/2015

**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 12,000 options were granted on 4/26/2007. 12,000 options were vested and exercisable as of December 24, 2015.
(2) The prices reported in column 4 is a weighted average price. The shares were sold in multiple transactions at respective prices ranging from \$30.66 to \$30.84, inclusive.
(3) Represents shares held by a trust in which Mr. Thomas is the trustee.
(4) Original option grant vests in four installments beginning on the first date of grant and thereafter on the first anniversary of the date of grant as listed in the "Date Exercisable" column.
(5) Original option grant vests in three installments beginning on the first anniversary of the date of grant as listed in the "Date Exercisable" column.
(6) Original option grant vests in four installments beginning on the first anniversary of the date of grant as listed in the "Date Exercisable" column.
(7) Each restricted stock award is the economic equivalent of one share of Envestnet, Inc. Common Stock
(8) Each restricted stock award represents the contingent right to receive one share of common stock upon vesting of the unit.
(9) This restricted stock award vests in three installments beginning on the first anniversary of the date of the grant of restricted stock.
(10) A total of 9,000 options were granted on 4/30/2008. 9,000 options were vested and exercisable as of December 28, 2015
(11) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at respective prices ranging from \$30.42 to \$30.57, inclusive.
(12) A total of 6,000 options were granted on 5/15/2009. 6,000 options were vested and exercisable as of December 28, 2015
(13) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at respective prices ranging from \$30.42 to \$30.57, inclusive.
(14) A total of 62,000 options were granted on 7/30/2010. 62,000 ptions were vested and exercisable as of December 29, 2015
(15) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at respective prices ranging from \$30.17 to \$30.37, inclusive.

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.