

ENVESTNET, INC.
Form 4
November 02, 2016

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 *
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)
10/31/2016

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					
Common Stock	10/31/2016		M		2,806 (13)	A	\$ 0.1069	144,135	D	
Common Stock	10/31/2016		S		2,806 (13)	D	\$ 35 (14)	141,329	D	
Common Stock	10/31/2016		M		17,194 (13)	A	\$ 1.075	161,329	D	
Common Stock	10/31/2016		S		17,194 (13)	D	\$ 34.96 (15)	141,329	D	
Common Stock	11/01/2016		M		2,806 (13)	A	\$ 1.075	144,135	D	

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Common Stock	11/01/2016	S	2,806 (13)	D	\$ 35.24 (16)	141,329	D	
Common Stock	11/01/2016	M	17,194 (13)	A	\$ 7.5	161,329	D	
Common Stock	11/01/2016	S	17,194 (13)	D	\$ 35.24 (16)	141,329	D	
Common Stock	11/02/2016	M	10,000 (13)	A	\$ 7.5	151,329	D	
Common Stock	11/02/2016	S	10,000 (13)	D	\$ 34.79 (17)	141,329	D	
Common Stock						100	I	By wife

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

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(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 Underlying Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Employee Stock Option (Right to Buy)	\$ 0.1069	10/31/2016		M	2,806	04/26/2007 ⁽²⁾ (10)	04/26/2017	Common Stock
Employee Stock Option (Right to Buy)	\$ 1.075	10/31/2016		M	20,000	04/26/2007 ⁽¹⁾ (11)	04/26/2017	Common Stock
Employee Stock Option (Right to Buy)	\$ 7.5	11/01/2016		M	27,194	04/26/2007 ⁽¹⁾ (12)	04/26/2017	Common Stock
Employee Stock Option	\$ 7.5					04/30/2009 ⁽¹⁾	04/30/2018	Common Stock

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(Right to Buy)					
Employee Stock Option (Right to Buy)	\$ 7.15		05/15/2010 ⁽¹⁾	05/15/2019	Common Stock
Employee Stock Option (Right to Buy)	\$ 9		07/28/2011 ⁽²⁾	07/28/2020	Common Stock
Employee Stock Option (Right to Buy)	\$ 12.55		02/28/2012 ⁽¹⁾	02/28/2021	Common Stock
Employee Stock Option (Right to Buy)	\$ 12.45		02/28/2013 ⁽¹⁾	02/28/2022	Common Stock
Employee Stock Option (Right to Buy)	\$ 15.34		02/28/2014 ⁽¹⁾	02/28/2023	Common Stock
Employee Stock Option (Right to Buy)	\$ 41.84		02/28/2015 ⁽¹⁾	02/28/2024	Common Stock
Employee Stock Option (Right to Buy)	\$ 53.88		02/29/2016 ⁽¹⁾	02/28/2025	Common Stock
Employee Stock Option (Right to Buy)	\$ 20.51		02/28/2017 ⁽⁸⁾	02/28/2026	Common Stock
Restricted Stock Award	⁽³⁾		⁽⁵⁾	02/28/2017	Common Stock
Restricted Stock Award	⁽³⁾		⁽⁶⁾	02/28/2018	Common Stock
Restricted Stock Award	⁽³⁾		⁽⁷⁾	02/28/2019	Common Stock
Performance Stock Unit Award	⁽³⁾		⁽⁹⁾	05/12/2019	Common Stock

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(17) The shares reported in column 4 were sold in multiple transactions with a weighted average price of \$34.76 per share.

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