

DePina Stuart
Form 3
March 08, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *

DePina Stuart

(Last) (First) (Middle)

35 E. WACKER
DRIVE, SUITE 2400

(Street)

CHICAGO, IL 60601

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

03/01/2019

3. Issuer Name and Ticker or Trading Symbol
ENVESTNET, INC. [ENV]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

56,333 ⁽¹⁾

D

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and Expiration Date
(Month/Day/Year)

Date Exercisable

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

Edgar Filing: DePina Stuart - Form 3

		Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	03/28/2018 ⁽²⁾	03/28/2027	Common Stock	3,750	\$ 31.7	D	Â
Employee Stock Option (Right to Buy)	02/28/2017 ⁽³⁾	02/28/2026	Common Stock	1,618	\$ 20.51	D	Â
Employee Stock Option (Right to Buy)	02/27/2016 ⁽⁴⁾	02/27/2025	Common Stock	9,000	\$ 53.88	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
DePina Stuart 35 E. WACKER DRIVE SUITE 2400 CHICAGO, IL 60601	Â	Â	Â President*	Â

Signatures

/s/ Shelly O'Brien, by Power-of-Attorney for Stuart
DePina 03/08/2019

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

- Includes 33,407 unvested restricted stock units ("RSUs") that convert into common stock on a one-for-one basis. Of these unvested RSUs: (i) 7,500 RSUs were granted on August 2, 2016 as part of a total grant of 45,000 RSUs; (ii) 4,690 RSUs were granted on March 28, 2017 as part of a total grant of 11,250 RSUs; and (iii) 9,334 were granted on February 28, 2018 as part of a total grant of 14,000 RSUs. For each such tranche of unvested RSUs, one-twelfth of the total amount originally granted will vest on each three-month anniversary of the date of grant. In addition, 11,883 of these unvested RSUs were granted on February 28, 2019; one-third of such total amount vests on the first anniversary of the date of the grant of RSUs and then one-twelfth of such total amount vests on each three-month anniversary of the date of grant thereafter.
- (1) 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.
- (2) This option grant vested over a 3 year period; one-third of the total amount vested on the first anniversary of the date of grant and one-twelfth of the total amount vested on each three-month anniversary of the date of grant thereafter.
- (3) This option grant vested over a 3 year period; one-third of the total amount vested on each anniversary of the date of grant.
- (4) This option grant vested over a 3 year period; one-third of the total amount vested on each anniversary of the date of grant.

Â

Remarks:

StuartÂ DePinaÂ assumedÂ theÂ roleÂ ofÂ ChiefÂ ExecutiveÂ ofÂ EnvestnetÂ DataÂ &Â Analytics,Â whichÂ includesÂ

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.