

ENVESTNET, INC.  
Form 4  
March 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 \*  
CHAPIN ROSS K

(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)  
02/29/2016

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)

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 Beneficial Ownership (Instr. 4) |     |       |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|-----|-------|
|                                 |                                      |  |                                | (A) or (D)  | Code  | V  | Amount                                       | (D) | Price |

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)**

| 1. Title of Derivative Security | 2. Conversion or Exercise | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any | 4. Transaction Code | 5. Number of Derivative Securities | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|---------------------------------|---------------------------|--------------------------------------|-----------------------------------|---------------------|------------------------------------|--|---|
|---------------------------------|---------------------------|--------------------------------------|-----------------------------------|---------------------|------------------------------------|--|---|

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| (Instr. 3)                           | Price of Derivative Security | (Month/Day/Year) | (Instr. 8) | Acquired (A) or Disposed of (D)<br>(Instr. 3, 4, and 5) | Code | V | (A) | (D) | Date Exercisable          | Expiration Date | Title        | Amount or Number of Shares |
|--------------------------------------|------------------------------|------------------|------------|---|------|---|-----|-----|---------------------------|-----------------|--------------|----------------------------|
| Director Stock Option (Right to Buy) | \$ 12.55                     |                  |            |   |      |   |     |     | 02/28/2012 <sup>(1)</sup> | 02/28/2021      | Common Stock | 2,658                      |
| Director Stock Option (Right to Buy) | \$ 12.45                     |                  |            |   |      |   |     |     | 02/28/2013 <sup>(1)</sup> | 02/28/2022      | Common Stock | 5,277                      |
| Director Stock Option (Right to Buy) | \$ 15.34                     |                  |            |   |      |   |     |     | 02/28/2014 <sup>(1)</sup> | 02/28/2023      | Common Stock | 7,954                      |
| Director Stock Option (Right to Buy) | \$ 41.84                     |                  |            |   |      |   |     |     | 02/28/2015 <sup>(1)</sup> | 02/28/2024      | Common Stock | 3,585                      |
| Director Stock Option (Right to Buy) | \$ 55.29                     |                  |            |   |      |   |     |     | 02/28/2016 <sup>(1)</sup> | 02/28/2025      | Common Stock | 2,913                      |
| Director Stock Option (Right to Buy) | \$ 20.51                     | 02/29/2016       |            |   | A    |   |     |     | 02/28/2017 <sup>(1)</sup> | 02/28/2026      | Common Stock | 5,789 <sup>(2)</sup>       |
| Restricted Stock Unit                | <sup>(3)</sup>               | 02/29/2016       |            |   | A    |   |     |     | <sup>(4)</sup>            | 02/28/2019      | Common Stock | 769                        |

## Reporting Owners

Reporting Owner Name / Address

Relationships

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Director 10% Owner Officer Other

CHAPIN ROSS K  
35 EAST WACKER DRIVE X  
SUITE 2400  
CHICAGO, IL 60601

## Signatures

/s/ Shelly O'Brien, by power of attorney for Ross  
Chapin

03/02/2016

\_\_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) Original option grant vests monthly over a 4 year period, except that the shares that would otherwise vest over the first 12 months shall not vest until the first anniversary of the grant.as listed in the "Date Exercisable" column.
- (2) 5,789 options were granted to the Reporting Person on February 29, 2016.
- (3) Each restricted stock unit is the economic equivalent of one share of Envestnet, Inc. Common Stock.
- (4) This restricted stock unit vests over a 3 year period, one third of the total amount vest on the first anniversary of the date of the grant of restricted stock; and then one-twelfth of the total amount vests on each three-month anniversary.

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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