

ENVESTNET, INC.
Form 4
March 03, 2015

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 *
Roame Charles

(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)
03/02/2015

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)

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 (D) Price | | | |
| Common Stock | 03/03/2015 | | P | 165 A \$ 54.9 | 165 | D | |
| Common Stock | 03/03/2015 | | G | 165 D \$ 0 | 0 | D | |
| Common Stock | | | | | 4,306 | I | See Footnote (1) |

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

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SEC 1474 (9-02)

displays a currently valid OMB control number.

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 |
| Director Stock Option (Right to Buy) | \$ 12.45 | | | | | 02/28/2013 ⁽²⁾ 02/28/2022 | Common Stock 2, |
| Director Stock Option (Right to Buy) | \$ 15.34 | | | | | 02/28/2014 ⁽²⁾ 02/28/2023 | Common Stock 8, |
| Director Stock Option (Right to Buy) | \$ 41.84 | | | | | 02/28/2015 ⁽²⁾ 02/28/2024 | Common Stock 3, |
| Director Stock Option (Right to Buy) | \$ 55.29 | 03/02/2015 | | A | 2,913 ⁽³⁾ | 03/02/2016 ⁽²⁾ 03/02/2025 | Common Stock 2, |
| Director Stock Option (Right to Buy) | \$ 55.29 | 03/02/2015 | | G | 2,913 | 03/02/2016 03/02/2025 | Common Stock 2, |
| Director Stock Option (Right to Buy) | \$ 55.29 | | | | | 03/02/2016 03/02/2025 | Common Stock 2, |
| | ⁽⁴⁾ | | | | | ⁽⁵⁾ 10/29/2015 | 2 |

Restricted
Stock
Award

Common
Stock

Restricted
Stock (4)
Award

(6) 07/30/2016

Common
Stock

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Roame Charles 35 EAST WACKER DRIVE SUITE 2400 CHICAGO, IL 60601 | X | | | |

Signatures

/s/ Shelly O'Brien, by power of attorney for Charles
Roame

03/03/2015

__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) Represents shares held by a trust in which Mr. Roame is the trustee.
- (2) 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.
- (3) 2,913 options were granted to the Reporting Person on March 2, 2015.
- (4) Each restricted stock award is the economic equivalent of one share of Envestnet, Inc. Common Stock.
The reporting person was granted 567 restricted stock units on October 29, 2013, of which 1/2 of the shares subject to the restricted stock units of the grant vested on October 29, 2014. The common stock into which such vested restricted stock units converted on October 29, 2014 was reported in Table I on a Form 4 filed on October 31, 2014. The remaining unvested restricted stock units will continue to vest as to 1/2 of the original number of shares subject to the restricted stock awards on October 29, 2015.
- (5) The reporting person was granted 327 restricted stock units on July 30, 2014, of which 1/2 of the shares subject to the restricted stock units of the grant will vest on July 30, 2015. The grant was reported in Table II on a Form 4 filed on August 1, 2014. The remaining unvested restricted stock units will continue to vest as to 1/2 of the original number of shares subject to the restricted stock awards on July 30, 2016.

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.