SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL OMB Number 3235-0287 Estimated average burder hours per response: 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(City)	(State)	(Zip)							
(Street) NEW YORK	NY	10022			Form filed by More that	n One Reporting Person			
650 MADISON AVENUE 19TH FLOOR			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv	ividual or Joint/Group Filing (Check Applicable Line) Form filed by One Reporting Person				
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/12/2013	X	Director Officer (give title below)	10% Owner Other (specify below)			
1. Name and Addre	ess of Reporting Perso	n*	2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF]	(Check	5. Relationship of Reporting Person(s) to Issuer Check all applicable)				

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	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	• Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	11/12/2013		J ⁽¹⁾		500,000	D	\$0.00	996,000 ⁽²⁾	Ι	By Flexpoint Fund, L.P.
Common Stock	11/12/2013		J ⁽³⁾		104,379	A	\$0.00	104,379(4)	I	By Flexpoint Management, L.P.
Common Stock	11/12/2013		J ⁽³⁾		104,379	D	\$0.00	0	I	By Flexpoint Management, L.P.
Common Stock	11/12/2013		J ⁽³⁾		10,084	A	\$0.00	90,709(5)	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned le q nuts calls warrants ontions convertible securities

(e.g., puts, cans, warrants, options, convertible securities)															
1. Title of Derivative Security (Instr	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 Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	Form: Direct (D)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		

Explanation of Responses:

1. Reflects a pro rata distribution of shares of common stock of the issuer for no consideration by Flexpoint Fund, L.P. (the "Fund"), the direct owner of the shares, to its general and limited partners on November 12, 2013, including Flexpoint Management, L.P. (the "GP"), the general partner of the Fund.

2. These shares are owned directly by the Fund. The GP is the general partner of the Fund. Although the reporting person has no voting or dispositive power over these shares, by virtue of his interest in the GP, he may be deemed to have indirect beneficial ownership of these shares. The reporting person expressly disclaims beneficial ownership of these shares therein, and the inclusion of these shares in this report shall not be deemed an admission of beneficial ownership of these shares for purposes of Section 16 or for any other purpose.

3. On November 12, 2013, the Fund distributed, on a pro rata basis for no consideration, 500,000 shares of common stock to its general and limited partners (the "Fund Distribution"), including the GP. As a result of the Fund Distribution, the GP became the direct beneficial owner of 104,379 shares of common stock of the issuer. Following the Fund Distribution and on the same day, the GP further distributed, on a pro rata basis for no consideration, all 104,379 shares of common stock of the issuer to its general and limited partners (the "GP Distribution"), including 10,084 shares of common stock distributed to the reporting person.

4. These shares are owned directly by the GP. Although the reporting person has no voting or dispositive power over these shares, by virtue of his interest in the GP, he may be deemed to have indirect beneficial ownership of these shares. The reporting person expressly disclaims beneficial ownership of these shares except to the extent of his pecuniary interest therein, and the inclusion of these shares in this report shall not be deemed an admission of beneficial ownership of these shares for purposes of Section 16 or for any other purpose.

5. Includes 6,144 shares of restricted stock awarded on July 24, 2013, vesting on July 24, 2014.

/s/ Peter M. Ziemba, Attorney-in-	11/13/2013
	11/13/2013
Fact	

** Signature of Reporting Person

Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

Check this box if no longer subject to