SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

| 1. Name and Addres | | rson* | | er Name and Ticker omTree Inves | | | | ionship of Reporting F all applicable) Director | Person(s) to Issue | |
|-----------------------|------------------------|-------------------------|-------------------|---|-------------------|---------------------------------|-----------|---|--------------------|--------------|
| (Last) C/O WISDOMT | (First) REE INVESTI | (Middle) MENTS, INC. | 3. Date 02/03/ | of Earliest Transac 2020 | tion (Month/Day | /Year) | x | Officer (give title below) | | specify |
| 245 PARK AVE | NUE, 35TH FI | LOOR | 4. If Am | endment, Date of C | Driginal Filed (M | onth/Day/Year) | 6. Indivi | dual or Joint/Group Fi Form filed by One F | | able Line) |
| (Street) | | | | | | | | Form filed by More | | na Person |
| NEW YORK | NY | 10167 | | | | | | | | ig r creen |
| (City) | (State) | (Zip) | | | | | | | | |
| | | Table I - N | on-Derivative | Securities Acc | quired, Dis | osed of, or Beneficia | lly Ow | ned | | |
| 1. Title of Security | (Instr. 3) | | 2. Transaction | 2A. Deemed | 3. | 4. Securities Acquired (A) or I | Disposed | 5. Amount of | 6. Ownership | 7. Nature of |

| 1. The of Security (instr. 5) | Date (Month/Day/Year) | Execution Date, if any (Month/Day/Year) 8) | | Of (D) (Instr. 3, 4 and 5) | | | Securities Beneficially Owned Following Reported | Form: Direct (D) or Indirect (I) (Instr. 4) | Beneficial Ownership | |
|-------------------------------|--------------------------|--|------|----------------------------|--------|---------------|--|---|-------------------------|------------|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (Instr. 4) |
| Common Stock | 02/03/2020 | | Р | | 20,000 | Α | \$4.2043 ⁽¹⁾ | 672,496 ⁽²⁾ | D | |

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

| | | | (*.9. | , p, | | , | | -p, e. | | | , | | | | |
|--|---|--|---|---------------------------------|---|---|------------------------------------|--|--------------------|--|-------------------------------------|---|--|--|--|
| 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. Transac Code (Ir 8) | | 5. Num Derivat Securit Acquin or Disp (D) (Ins and 5) | tive ties ed (A) bosed of | 6. Date Exerc Expiration Da (Month/Day/) | ate | 7. Title and A Securities U Derivative So (Instr. 3 and | nderlying ecurity | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | (Instr. 4) | | |

Explanation of Responses:

1. The price included in Column 4 is an average weighted price. These shares were purchased in multiple transactions at prices ranging from \$4.175 to \$4.2150, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in footnote (1) of this Form 4.

2. Includes restricted stock awards vesting as to (i) 56,375 shares on January 25, 2021, (ii) 47,532 shares on January 25, 2022, and (iii) 13,264 shares on January 25, 2023.

Remarks:

/s/ Marci Frankenthaler, Attorney- 02/04/2020

** Signature of Reporting Person Date

in-Fact

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.

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