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

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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 Address of Reporting Person <sup>*</sup><br><u>Conjeevaram Smita</u> |  |     |   |  |   | 2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF] |        |   |   |                    |   |  |  | Reporting F<br>le)  | Person(s)  | to Issuer<br>10% Ov   | ner      |
|--|--|-----|---|--|---|---|--------|---|---|--------------------|---|--|--|---|--|---|----------|
| (Last)   | (Last) (First) (Middle)  |     |   |  |   | 3. Date of Earliest Transaction (Month/Day/Year)<br>07/25/2022                  |        |   |   |                    |   |  | Officer (g<br>below)                                   | ive title   |  | Other (s<br>below)  | pecify   |
| C/O WISDOMTREE INVESTMENTS, INC.<br>250 WEST 34TH STREET, 3RD FLOOR              |  |     |   |  | 4. If Amendment, Date of Original Filed (Month/Day/Year)  |   |        |   |   |                    |   | 6. Indiv<br>X  | lividual or Joint/Group Filing (Check Applicable Line) |   |  |   |          |
| (Street)<br>NEW YORK NY 10119  |  |     |   |  |   |   |        |   |   |                    |   | Form file  | d by More  | than One  | Reportin   | g Person  |          |
| (City)   | (State)  | (Zi | p)                                      |  | _   |   |        |   |   |                    |   |  |  |   |  |   |          |
|  |  | Та  | ble I - No                              | n-Dei  | rivative Se   | ecurities Acq   | uired, | Disp  | osed of,  | , or               | Benefi  | cially Ow  | /ned   |   |  |   |          |
| Date   |  |     |   | nsaction<br>h/Day/Year)  | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year)   | 3.<br>Transaction<br>Code (Instr.<br>8)   |        | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 a |   |                    |   | 5. Amount of<br>Securities<br>Beneficially Owned<br>Following Reported<br>Transaction(s)         |  | 6. Ownership<br>Form: Direct (D)<br>or Indirect (I)<br>(Instr. 4) |  | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |          |
|  |  |     |   |  |   |   | Code   | v   | Amount  |                    | (A) or<br>(D)                                       | Price  | (Instr. 3 and 4)                                       |   |  |   | (1130.4) |
| Common Stock 07/2  |  |     |   |  | 25/2022   |   | Α      |   | 19,76   | 2                  | A   | \$0.00   | 42,683(1)  |   | Г  | )   |          |
|  | Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned         (e.g., puts, calls, warrants, options, convertible securities) |     |   |  |   |   |        |   |   |                    |   |  |  |   |  |   |          |
| 1. Title of<br>Derivative<br>Security (Instr. 3)                                 | str. 3) or Exercise (Month/Day/Year) if any  |     | 4.<br>Transaction<br>Code (Instr.<br>8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D) (Instr. 3, 4<br>and 5) | Derivative Expiration Dat<br>Securities (Month/Day/Ye<br>Acquired (A)<br>or Disposed of<br>(D) (Instr. 3, 4 |   |        | Sec<br>Deri   | itle and Ar<br>urities Un<br>ivative Sec<br>tr. 3 and 4 | derlying<br>curity | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Numbe<br>derivative<br>Securities<br>Beneficia<br>Owned<br>Following<br>Reported<br>Transacti | e Ov<br>s Fo<br>lly Di<br>or<br>g (l)                  | wnership<br>orm:<br>rect (D)<br>Indirect<br>(Instr. 4)            | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |   |          |

Date

Exercisable

(D)

Expiration

Title

Date

Explanation of Responses:

1. Includes restricted stock award which vests as to 19,762 shares on July 15, 2023.

Remarks:

## /s/ Marci Frankenthaler, Attorney- 07/26/2022

(Instr. 4)

in-Fact

\*\* Signature of Reporting Person Date

Amount

of Shares

or Number

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

 $^{\ast}$  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.

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(A)

Code