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 Addres		erson*		Name and Ticker	0,		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last) (First)		(Middle)	3. Date o 05/06/2	of Earliest Transacti 013	ion (Month/Day	Year)	- X	Director Officer (give title below)		(specify		
C/O WISDOMTREE INVESTMENTS, INC. 380 MADISON AVENUE, 21ST FLOOR			4. If Ame	endment, Date of O	riginal Filed (Mo	onth/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person					
(Street)		10017						Form filed by More	than One Reporti	ng Person		
NEW YORK	NY	10017										
(City)	(State)	(Zip)										
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
1. Title of Security (Instr. 3) 2. Tra				2A. Deemed	3.	4. Securities Acquired (A) or	. Securities Acquired (A) or 5. Amount of 6. Owne			7. Nature of		

1. Title of Security (instr. 3)			Da	Date (Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Code (Instr.		Disposed Of (D) (Instr. 3, 4 and 5)			Securities Beneficially Owned Following Reported	Owned eported	(Instr. 4)	Indirect Beneficial Ownership
						Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)			(Instr. 4)
Common Stor	k		(05/06/2013		М		25,000	D	\$2.03	92,137 ⁽³⁾		D	
Common Stock				05/06/2013		S		10,000	D	\$12.54(2)	82,137(3)		D	
Common Stock				05/08/2013		S		3,200	D	\$12	78,937(3)		D	
Common Stock											17,321		Т	By Hillcrest Financial, LLC
					curities Acqui lls, warrants,		•			•	əd			
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)		e See ar) De	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	9. Number derivative Securities Beneficiall Owned Following Reported	Ownership Form:	11. Nature of Indirect Beneficial Ownership (Instr. 4)

Explanation of Responses:

\$2.03

Stock Option

(right to buy)

1. Exercisable as to 150,000 shares on each of July 22, 2006, 2007 and 2008.

05/06/2013

2. The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$12.50 to \$12.60, inclusive. The reporting person undertakes to provide to WisdomTree Investments, Inc., any security holder of WisdomTree Investments, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in footnote (2) to this Form 4.

25,000

Date

Exercisable

(1)

Expiration

07/21/2015

Title

Common

Stock

Date

3. Includes 27,137 shares of restricted stock vesting as to 13,568 shares on July 27, 2013 and as to 13,569 shares on July 27, 2014.

/s/ Peter M. Ziemba, Attorney-in-Fact 05/08/2013

Transaction(s)

325,000

D

(Instr. 4)

** Signature of Reporting Person Date

Amount

Number

of Shares

25,000

\$0.00

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).

Code V (A) (D)

Μ

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.