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 Address of Reporting Person <sup>*</sup> Steinberg Jonathan L	2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>WisdomTree Investments, Inc.</u> [WETF]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last) (First) (Middle) 380 MADISON AVENUE	3. Date of Earliest Transaction (Month/Day/Year) 09/16/2013	X Director 10% Owner X Officer (give title Other (specify below) below) Chief Executive Officer					
21ST FLOOR (Street) NEW YORK NY 10017 (City) (State) (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X 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. Transac Code (Ir 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	09/16/2013		М		187,500	Α	\$0.03	4,696,451 <sup>(2)</sup>	D	
Common Stock	09/16/2013		S		112,500	D	\$12.21(3)	4,583,951(2)	D	
Common Stock								798	Ι	Owned by Spouse

# 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. Transac Code (In 8)						7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Stock Option (right to buy)	\$0.03	09/16/2013		М			187,500	(1)	03/16/2014	Common Stock	187,500	\$0.00	2,062,500	D	

#### Explanation of Responses:

1. Exercisable as to 300,000 shares on each of March 17, 2005, 2006, 2007, 2008 and 2009 and as to 1,500,000 additional shares at such time as the issuer has achieved at least \$1.00 in net income in two consequcutive fiscal quarters.

2. Includes restricted stock vesting as to 150,841 shares on January 22, 2014 and as to 75,421 shares on each of January 22, 2015 and 2016.

3. The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$12.20 to \$12.27, 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 (3) to this Form 4.

/s/ Peter M. Ziemba, Attorney-in-Fact 09/16/2013

\*\* Signature of Reporting Person

rson 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.

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