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

Estimated average burder hours per response:

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* Steinberg Jonathan L			2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)		
(Last) 380 MADISON	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 12/16/2013	x x	Director Officer (give title below) Chief Executiv	10% Owner Other (specify below) re Officer
21ST FLOOR			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)		
(Street) NEW YORK	NY	10017		X	Form filed by One Repo Form filed by More thar	0
(City)	(State)	(Zip)				
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned						

1. Title of Security (Instr. 3) 2 Transaction 2A Deemed 4 Securities Acquired (A) or 5 Amount of 6 Ownershin 7 Nature of Disposed Of (D) (Instr. 3, 4 and 5) Execution Date, Transaction Securities Form: Direct (D) Indirect Date (Month/Dav/Year) Beneficially Owned Beneficial if any Code (Instr. or Indirect (I) (Month/Day/Year) 8) Following Reported (Instr. 4) Ownership Transaction(s) (Instr. 4) (A) or (Instr. 3 and 4) v Price Code Amount (D) М \$0.03 Common Stock 12/16/2013 187,500 5,221,451(2) D Α s 112,500 Common Stock 12/16/2013 D \$15.31(3) 5,108,951(2) D Owned by Common Stock 798 I Spouse

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

1. Title of 2. Conversion 3. Transaction 3A. Deemed 5. Number of 6. Date Exercisable and 7. Title and Amount of 8. Price of 9. Number of 10. 11. Nature Transaction Derivative Date Execution Date Derivative Expiration Date Securities Underlying Derivative derivative Ownership of Indirect Securities Security (Instr. or Exercise (Month/Day/Year) Code (Instr. (Month/Day/Year) Derivative Security (Instr. Securities Form: Beneficial Security if any 3) Price of (Month/Dav/Year) 8) Acquired (A) or 3 and 4) (Instr. 5) Beneficially Direct (D) Ownership Disposed of (D) Derivative Owned or Indirect (Instr. 4) Security (Instr. 3, 4 and 5) Following (I) (Instr. 4) Reported Transaction(s) Amount or (Instr. 4) Date Expiration Number of (A) (D) Exercisable Title Code v Date Shares Stock Option Commor \$0.03 12/16/2013 Μ 187,500 03/16/2014 \$0.00 750,000 D (1) 187,500 (right to buy) Stock

Explanation of Responses:

1. Exercisable as to 300,000 shares on each of March 17, 2005, 2006, 2007, 2008, 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 consequtive 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 \$15.22 to \$15.47, inclusive. The reporting person undertakes to provide to WisdomTree Investments, Inc., any security holder of Wisdom Tree 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-12/17/2013 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.

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