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).

1. Name and Address of Reporting Person

STATEMEN

N	ENT OF CHANGES IN BENEFICIAL OWNER	hours per response: 0.5			
Fil	ed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940				
	2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF]	tionship of Re all applicable Director	porting Person(s) to Issuer) 10% Owner		

Steinberg Jonathan L		wisdom free myestments, me. [wEIF]	`х	Director	10% Owner
C/O WISDOMTREE INVESTMENTS, I	Middle) INC.	3. Date of Earliest Transaction (Month/Day/Year) 03/03/2014	X	Officer (give title below) Chief Executive Of	Other (specify below) fficer
245 PARK AVENUE, 35TH FLOOR (Street) NEW YORK NY 10167 (City) (State) (Zip)		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv	dual or Joint/Group Filing (Che Form filed by One Reporting Form filed by More than One	Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Date Execution Date,		tion istr.	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	03/03/2014		М		187,500	A	\$0.03	5,525,306	D	
Common Stock	03/03/2014		S		37,500	D	\$15.01 ⁽²⁾	5,300,306	D	
Common Stock	03/04/2014		S		75,000	D	\$15.53(3)	5,225,306	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)

	(cig., pulo, duilo, wuranto, opnono, convertible dedunico)														
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 Transaction(s)	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		(Instr. 4)		
Stock Option (right to buy)	\$0.03	03/03/2014		М			187,500	(1)	03/16/2014	Common Stock	187,500	\$0.00	187,500	D	

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. The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$15.00 to \$15.03, 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 (2) to this Form 4.

3. e price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$15.50 to \$15.65, 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-i	<u>n-</u> 02/04/2014
Fact	<u>03/04/2014</u>

** 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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