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

| Steinberg Jonathan L                          |  |                | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>WisdomTree Investments, Inc.</u> [WETF] |               | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)     |   |  |  |  |  |  |  |
|---|--|----------------|--|---------------|--|---|--|--|--|--|--|--|
| (Last)  |  | ( )            | 3. Date of Earliest Transaction (Month/Day/Year)<br>03/11/2014                                   |               | Director<br>Officer (give title<br>below)<br>Chief Execution                   | 10% Owner<br>Other (specify<br>below)<br>ve Officer |  |  |  |  |  |  |
| 245 PARK AV<br>(Street)<br>NEW YORK<br>(City) | VENUE, 35TH F<br>NY<br>(State)   | 10167<br>(Zip) | 4. If Amendment, Date of Original Filed (Month/Day/Year)   | 6. Indiv<br>X | idual or Joint/Group Filing<br>Form filed by One Rep<br>Form filed by More tha | ,   |  |  |  |  |  |  |
|   | Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |                |  |               |  |   |  |  |  |  |  |  |

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

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) |  | 3.<br>Transaction<br>Code (Instr.<br>8) |   | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and 5) |               |            | 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 |
|---------------------------------|--|--|---|---|--|---------------|------------|--|---|---|
|                                 |  |  | Code                                    | v | Amount   | (A) or<br>(D) | Price      | (Instr. 3 and 4)   |   | (Instr. 4)  |
| Common Stock                    | 03/11/2014                                 |  | S                                       |   | 37,500   | D             | \$15.23(1) | 5,337,806  | D   |   |
| Common Stock                    | 03/12/2014                                 |  | S                                       |   | 37,500   | D             | \$14.57(2) | 5,300,306  | D   |   |
| Common Stock                    |  |  |   |   |  |               |            | 798  | I   | Owned by<br>Spouse                                  |

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

|   |  |   | (9.)  | , <b>P</b> ,                |   | ,  |     | ·p,,   |                    |  | ,                                   |   |  |                     |  |
|---|--|---|---|-----------------------------|---|--|-----|--|--------------------|--|-------------------------------------|---|--|---------------------|--|
| 1 | 1. Title of<br>Derivative<br>Security (Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | <br>3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | Transaction<br>Code (Instr. |   | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D) (Instr. 3, 4<br>and 5) |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 3 and 4) |                                     | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported | Form:<br>Direct (D) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|   |  |   |   | Code                        | v | (A)  | (D) | Date<br>Exercisable  | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of Shares |   | Transaction(s)<br>(Instr. 4)   |                     |  |

### Explanation of Responses:

1. The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$14.83 to \$15.44, 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 (1) to this Form 4.

2. e price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$14.51 to \$14.72, 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.

> /s/ Peter M. Ziemba, Attorney-in-03/13/2014 Fact

> > Date

\*\* Signature of Reporting Person

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.

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