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 [*] Ziemba Peter M			2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF]		tionship of Reporting Pers all applicable) Director	son(s) to Issuer 10% Owner				
		· · · ·	3. Date of Earliest Transaction (Month/Day/Year) 08/22/2014	x	Officer (give title below) Chief Legal	Other (specify below)				
245 PARK AVI (Street) NEW YORK (City)	245 PARK AVENUE, 35TH FLOOR (Street) NEW YORK NY 10167		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv	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 Bene	ficially Ow	ned					

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. Transaction Code (Instr. 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 (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	08/22/2014		М		44,650	Α	\$1.07	707,604(2)	D	
Common Stock	08/22/2014		S		44,650	D	\$11.02 ⁽³⁾	662,954 ⁽²⁾	D	
Common Stock	08/25/2014		М		5,350	Α	\$1.07	668,304 ⁽²⁾	D	
Common Stock	08/25/2014		S		5,350	D	\$11.28(4)	662,954 ⁽²⁾	D	
Common Stock								8,800	I	By Daughter
Common Stock								13,800	I	By Son

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		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)		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)	11. Nature of Indirect 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)	\$1.07	08/22/2014		М			44,650	(1)	04/22/2017	Common Stock	44,650	\$ <mark>0</mark>	305,350	D	
Stock Option (right to buy)	\$1.07	08/25/2014		М			5,350	(1)	04/22/2017	Common Stock	5,350	\$0	300,000	D	

Explanation of Responses:

1. Exercisable (at an exercise price of \$6.35 per share) as to 200,000 shares vesting on each of April 27, 2008, 2009, 2010, and 2011. Modified on January 26, 2009 to also become exercisable (at an exercise price of \$1.07 per share) as to 200,000 shares on each of January 27, 2010, 2011, 2012 and 2013.

2. Includes (i) restricted stock award which vests as to 14,165 shares on January 25, 2015 and as to 14,166 shares on January 22, 2016, and (ii) restricted stock award which vests as to 37,500 shares on each of January 25, 2015 and 2016 and (iii) restricted stock which vests as to 25,000 shares on January 27, 2015.

3. The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$11.00 to \$11.16, 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.

4. The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$11.08 to \$11.52, 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 (4) to this Form 4.

Remarks:

Exhibit Index: Exhibit 24 Power of Attorney by Peter M. Ziemba

/s/ Marci Frankenthaler, Attorney-08/25/2014

** Signature of Reporting Person

in-Fact

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.

OMB APPROVAL OMB Number 3235-0287 Estimated average burder 0.5 hours per response:

Know all by these presents, that the undersigned hereby constitutes and appoints each of Marci Frankenthaler and Amit Muni, signing singly, the undersigned's true and lawful attorney-in-fact to:

(1) execute for and on behalf of the undersigned, in the undersigned's capacity as an officer and/or director of WisdomTree Investments, Inc. (the "Company"), Forms 3, 4 and 5 and amendments thereto in accordance with Section 16(a) of the Securities Exchange Act of 1934, as amended ("Exchange Act") and the rules thereunder;

(2) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Form 3, 4 or 5 and amendments thereto and timely file such form with the United States Securities and Exchange Commission ("SEC") and any stock exchange or similar authority; and

(3) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this Power of Attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Exchange Act.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4 and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorneys-in-fact. This Power of Attorney may be filed with the SEC as a confirming statement of the authority granted herein.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of July 30, 2014.

/s/ Peter M. Ziemba Signature

Peter M. Ziemba Print Name