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 [*] Steinberg Jonathan L				2. Issuer Name and Ticker or Trading Symbol <u>WisdomTree Investments, Inc.</u> [WETF]							ionship of Reporting F all applicable) Director	r wner		
(Last) C/O WISDOMTR	(First) EE INVESTMENT	(Middle) 5, INC.		3. Date of Earliest Transaction (Month/Day/Year) 09/14/2016						x	Officer (give title below) Chief Exec	Other (specify below) ntive Officer		
245 PARK AVENUE, 35TH FLOOR				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			
(Street) NEW YORK	NY	10167							X	Form filed by One F		ng Person		
(City)	(State)	(Zip)												
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned														
Date			2. Transacti Date (Month/Day/	Execution Date,		3. Transaction Code (Instr. 8)		4. Securities Ad Of (D) (Instr. 3,) or Disposed	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	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	(Instr. 3 and 4)		(Instr. 4)	
Common Stock			09/14/20	016		Р		100,000	A	\$10.2253(1)	7,484,001(2)	D		
													By	

Spouse Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 6. Date Exercisable and 1. Title of 3. Transaction 5. Number of 9. Number of 11. Nature 3A. Deemed 7. Title and Amount of 8. Price of 10 curities Underlying Derivative Date Execution Date Transaction Derivative Expiration Date Derivative derivative Ownership of Indirect Conversion . (Month/Day/Year) (Month/Dav/Year **Derivative Security** Security (Instr. 3) or Exercise if anv Code (Instr. Securities Security Securities Form: Beneficial Price of (Month/Day/Year) Acquired (A) (Instr. 3 and 4) (Instr. 5) Beneficially Direct (D) Ownership 8) Derivative or Disposed of Owned or Indirect (Instr. 4) (D) (Instr. 3, 4 Following (I) (Instr. 4) Security and 5) Reported Transaction(s) Amount (Instr. 4) Number Expiration Date Code v (A) (D) Exercisable . Date Title of Shares

Explanation of Responses:

Common Stock

1. The price included in Column 4 is an average weighted price. These shares were purchased in multiple transactions at prices ranging from \$10.14 to \$10.30, 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 purchased at each separate price within the range set forth in footnote (1) of this Form 4.

2. Includes restricted stock awards which vest as to (i) 51,772 shares on January 14, 2017, (ii) 37,539 shares on January 28, 2017, (iii) 37,550 shares on January 28, 2018, (iv) 147,291 shares on each of January 27, 2017 and 2018 and (v) 147,290 shares on January 27, 2019.

Remarks:

/s/ Marci Frankenthaler, Attorneyin-Fact 09/14/2016

Date

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** Signature of Reporting Person

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