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

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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 [•] Lavine Bruce I					2. Issuer Name and Ticker or Trading Symbol <u>WisdomTree Investments, Inc.</u> [WETF]								tionship of Reporting all applicable) Director		Person(s) to Issuer			
(Last)	(First)	(M	iddle)			3. Date of Earliest Transaction (Month/Day/Year) 08/07/2017							Officer (give title below)		Other (s below)		(specify	
C/O WISDOMTREE INVESTMENTS, INC. 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													Form file	d by More	e than One I	Reportii	ng Person	
(City)	(State)	(Zi	(Zip)															
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																		
Date					saction /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 a			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		
							Code	v	Amount	(A) (D)	or	Price	(Instr. 3 and				(Instr. 4)	
Common Stock 0				08/0	7/2017		S		14,000	Ι	,	\$9.966 ⁽¹⁾	158,117(2)		D			
Common Stock 08				08/0	8/2017		S		5,849	Ι)	\$9.92	152,268(2)		D			
Common Stock													15,000		Ι		By 2012 Bruce Lavine Irrevocable Trust	
						curities Acqu IIs, warrants,							ed					
1. Title of Derivative Security (Instr. 3)	Derivative Conversion Date Execution		Date,	4. Transactior Code (Instr 8)		6. Date Exercisable an Expiration Date (Month/Day/Year) f			7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)			8. Price of 9. Numb Derivative derivativ Security Securitie (Instr. 5) Benefici Owned Followin Reporte Transac		ve Ow es For ally Dire or I ng (I) (d	nership m: ect (D) ndirect Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		

Explanation of Responses:

1. The price included in Column 4 is an average weighted price. These shares were sold in multiple transactions at prices ranging from \$9.85 to \$10.05, 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) of this Form 4.

(D)

Date

Exercisable

Expiration

Title

in-Fact

Date

2. Includes restricted stock award vesting as to 10,214 shares on June 20, 2018.

Remarks:

/s/ Marci Frankenthaler, Attorney- 08/09/2017

** Signature of Reporting Person

Amount

Number

of Shares

(Instr. 4)

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).

Code V (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.