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

OMB APPROVAL
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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* SALERNO FRANK				r Name and Ticker o omTree Invest of Earliest Transacti 2017	tments	, Inc	2. [WETF]		ationship of Reporting Person(s) to Issuer k all applicable) Director 10% Owner Officer (give title Other (specify			
	(First) REE INVESTMENT NUE, 35TH FLOOR NY (State)	1		4. If Amendment, Date of Original Filed (Month/Day/Year)						below) idual or Joint/Group Fi Form filed by One f Form filed by More	Reporting Person	,
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
1. Title of Security (Instr. 3) Date (Month/				action 2A. Deemed Execution Date, if any (Month/Day/Year)		tion istr.	4. Securities Ad Disposed Of (D) (Instr. 3,		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)		
Common Stock			11/14/2017		М		62,000	A	\$2.15	215,947(1)	D	

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

F

11,976

D

\$11.13

203,971(1)

D

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)				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)	Reported	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		Transaction(s) (Instr. 4)		
Stock Option (right to buy)	\$2.15	11/14/2017		М			62,000	(2)	08/24/2018	Common Stock	62,000	\$0.00	122,426	D	

Explanation of Responses:

Common Stock

1. Includes restricted stock award which vests as to 10,214 shares on June 20, 2018.

2. Exercisable as to 61,476 shares on August 25, 2009 and 61,475 shares on each of August 25, 2010 and 2011.

Remarks:

/s/ Marci Frankenthaler, Attorneyin-Fact <u>11/15/2017</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).

11/14/2017

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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