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] 3. Date of Earliest Transaction (Month/Day/Year)									5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner Officer (give title Other (specify					
(Last)	(First)	(M	(Middle)				06/19/2018								below)			below)		
C/O WISDOMTREE INVESTMENTS, INC. 245 PARK AVENUE, 35TH FLOOR						4. If Amendment, Date of Original Filed (Month/Day/Year) 06/20/2018									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 C	One Reporti	ng Person	
(City)	(State)	(Zi	ip)																	
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																				
Date					ite		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 ar				d 5) 5. Amount of Securities Beneficially Following R Transaction		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		7. Nature of Indirect Beneficial Ownership (Instr. 4)	
									Code	v	Amount	(A) o (D)	r	Price	(Instr. 3 and 4)				(
Common Stock 06/19					9/2018	/2018			Α		8,936	A		\$0.00	161,204(1)			D		
Common Stock														15,000			I	By 2012 Bruce Lavine Irrevocable Trust		
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)																				
Derivative Conversion Date Execution Security (Instr. 3) or Exercise (Month/Day/Year) if any		Execution Date, T if any C		4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exerci Expiration Da (Month/Day/Yo		te	Securities Under		derlying curity	8. Price of Derivative Security (Instr. 5)	9. Numb derivativ Securitic Benefici Owned Followir Reporte Transac	ve es ally ng d	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 tle of Share			(Instr. 4)						

Explanation of Responses:

1. Includes restricted stock award which vests as to 8,936 shares on June 19, 2019.

Remarks:

This amendment is being filed to correct the number of shares of common stock acquired by the Reporting Person reflected in Column 4.

/s/ Marci Frankenthaler, Attorneyin-Fact 06/22/2018

** 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).

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.