SEC Form 3

FORM 3

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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*<br>Schwartz Jeremy  |   |   | 2. Date of Event Re<br>Statement (Month/<br>11/01/2018 |                    | 3. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF]  |                                     |                                    |  |   |
|--|---|---|--|--------------------|--|-------------------------------------|------------------------------------|--|---|
|  | (First)<br>TREE INVESTI<br>ENUE, 35TH FI<br>NY<br>(State) | 1 |  |                    | 4. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>Director 10% Owner<br>X Officer (give title Other (specify<br>below) below)<br>Global Head of Research |                                     | (N<br>6.                           | <ul> <li>5. If Amendment, Date of Original Filed (Month/Day/Year)</li> <li>6. Individual or Joint/Group Filing (Check Applicable Line)</li> <li>X Form filed by One Reporting Person Form filed by More than One Reporting Person</li> </ul> |   |
| Table I - Non-Derivative Securities Beneficially Owned   |   |   |  |                    |  |                                     |                                    |  |   |
| 1. Title of Security (Instr. 4)  |   |   |  |                    | . Amount of Securities<br>eneficially Owned (Instr. 4)   | · · ·                               |                                    | 4. Nature of Indirect Beneficial Ownership (Instr.<br>5)   |   |
| Common Stock   |   |   |  |                    | 554,114(1)   | D                                   |                                    |  |   |
| Table II - Derivative Securities Beneficially Owned           (e.g., puts, calls, warrants, options, convertible securities) |   |   |  |                    |  |                                     |                                    |  |   |
| 1. Title of Derivative Security (Instr. 4)   |   |   | 2. Date Exerce<br>Expiration D<br>(Month/Day/          | ate                | 3. Title and Amount of Securities<br>Derivative Security (Instr. 4)  | s Underlying                        | 4.<br>Conversio<br>or Exercis      | ise (D) or   | 6. Nature of Indirect<br>Beneficial Ownership<br>(Instr. 5) |
|  |   |   | Date<br>Exercisable                                    | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of Shares | Price of<br>Derivative<br>Security | Indirect (I)<br>(Instr. 5)   |   |

Explanation of Responses:

1. Includes restricted stock awards vesting as to (i) 91,948 shares on January 25, 2019, (ii) 20,964 shares on January 27, 2019, (iii) 8,844 shares on January 25, 2020 and (iv) 8,845 shares on January 25, 2021.

Remarks:

Exhibit 24 - Power of Attorney

/s/ Marci Frankenthaler, Attorneyin-Fact 11/01/2018

\*\* Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $^{\ast}$  If the form is filed by more than one reporting person, see Instruction 5 (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.

POWER OF ATTORNEY

Know all by these presents, that the undersigned hereby constitutes and appoints each of Gregory Barton, Marci Frankenthaler, Peter Ziemba 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 October 23, 2018.

/s/ Jeremy Schwartz\_\_\_\_ Signature

Jeremy Schwartz Print Name