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

	. ,		-Derivative Securities Acquired, Disposed of, or Bene	ficially Ow	ned				
(City)	(State)	(Zip)							
(Street) NEW YORK	NY	10167			, ,	n One Reporting Person			
245 PARK AVENUE, 35TH FLOOR			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person				
C/O WISDOMTREE INVESTMENTS, INC.					Chief Operating Officer				
(Last)	(Last) (First) (Middle)		3. Date of Earliest Transaction (Month/Day/Year) 01/18/2019	x	Officer (give title below)	Other (specify below)			
1. Name and Address of Reporting Person* Bell Stuart			2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner				

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	 Transaction(s) (Instr. 3 and 4) 		(Instr. 4)
Common Stock	01/18/2019		М		20,000	A	\$0.7	61,625(1)	D	

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

(. 5) Frit,															
1. Title of Derivative Security (Instr. 3)	e Conversion Date Execution Date,		4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		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)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect 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)	\$0.7	01/18/2019		М			20,000	(2)	01/25/2019	Common Stock	20,000	\$0.00	0	D	

Explanation of Responses:

1. Includes restricted stock awards which vest as to (i) 3,769 shares on each of January 25, 2019 and 2020, (ii) 2,945 shares on January 27, 2019, (iii) 4,771 shares on September 12, 2019 and (iv) 2,540 shares on January 25, 2021. 2. Exercisable as to 5,000 shares on each of January 26, 2010, 2011, 2012 and 2013.

Remarks:

/s/ Marci Frankenthaler, Attorney-01/18/2019

in-Fact

** 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.

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