Edgar Filing: WisdomTree Investments, Inc. - Form 4

WisdomTree Investments, Inc. Form 4

Stock

Stock

Common

11/18/2013

November 1	8, 2013											
	FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549							OMB AF OMB Number:	PROVAL 3235-0287			
if no lon subject t Section Form 4 of Form 5 obligation may con <i>See</i> Instr 1(b).	ger o 16. or Filed pu ons tinue.	rsuant to S (a) of the l	Section 1 Public U	SECUE 6(a) of the tility Hol	RITIES	es Ex pany	change Act of 1	ERSHIP OF Act of 1934, 1935 or Section	Estimated average burden hours per response 0.5			
(Print or Type	Responses)											
1. Name and Address of Reporting Person <u>*</u> STEINHARDT MICHAEL H			2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF]					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
(Last) (First) (Middle) 650 MADISON AVENUE, 17TH FLOOR			3. Date of Earliest Transaction(Month/Day/Year)11/15/2013					_X_Director _X_10% Owner Officer (give title below) Other (specify below)				
NEW YOR	(Street)		Filed(Month/Day/Year) Applicable Line) _X_ Form filed by				Applicable Line) _X_ Form filed by Or	oint/Group Filing(Check One Reporting Person More than One Reporting				
	K, NY 10022						F	Person				
(City)	(State)	(Zip)	Tab	le I - Non-l	Derivative S	ecurit	ies Acqui	ired, Disposed of,	or Beneficial	ly Owned		
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deem Execution any (Month/D	Date, if	3. Transactic Code (Instr. 8) Code V	4. Securitie pror Disposed (Instr. 3, 4 a Amount	d of (D		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock	11/15/2013			М	835,000	A	\$ 0.16	19,814,910 (1)	D			
Common	11/15/2013			F	9,824	D	\$ 13.6	19,805,086	D			

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

S

Persons who respond to the collection of SEC 1474 information contained in this form are not

(1)

(1)

19,512,965

D

\$

(2)

292,121 D

13.49

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required to respond unless the form displays a currently valid OMB control number.

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Ni	umber of	6. Date Exercis	sable and	7. Title and A	Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	actiorDerivative		Expiration Date		Underlying Securities	
Security	or Exercise		any	Code	Securities		(Month/Day/Year)		(Instr. 3 and 4)	
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Acquired (A) or					
	Derivative				Disp	osed of (D)				
	Security				(Instr. 3, 4, and					
					5)					
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount o Number o Shares
Stock Option (right to buy)	\$ 0.16	11/15/2013		М		835,000	11/10/2005	11/09/2014	Common Stock	835,00

Reporting Owners

Reporting Owner Name / Address	Relationships						
1	Director	10% Owner	Officer	Other			
STEINHARDT MICHAEL H 650 MADISON AVENUE 17TH FLOOR NEW YORK, NY 10022	Х	Х					
Signatures							
/s/ Peter M. Ziemba, Attorney-in-Fact		11/18/20	13				
**Signature of Reporting Person		Date					

Explanation of Responses:

* 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).
- (1) Includes 6,144 shares of restricted stock awarded on July 24, 2013, vesting on July 24, 2014.

The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$13.25 to \$13.64, inclusive. The reporting person undertakes to provide to WisdomTree Investments, Inc., any security holder of WisdomTree

(2) 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 (2) to this Form 4.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.