Edgar Filing: WisdomTree Investments, Inc. - Form 4

WisdomTree Investments, Inc. Ι

| Form 4 December 1´ | 7 2013 | | | | | | | | | | | |
|--|--|---|---|--|-----------|------|--------|----------------|--|--|--|--|
| | | | | | | | | | | OMB A | PPROVAL | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | | OMB Number: | 3235-0287 | | | |
| Check th if no long subject to Section 1 Form 4 o Form 5 obligatio may cont <i>See</i> Instru 1(b). | ger 5 16. 5 5 5 5 5 5 5 5 5 5 5 5 5 | STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 20(b) of the Investment Company Act of 1940 | | | | | | | | | January 31, 2005 average Jrs per . 0.5 | |
| (Print or Type I | Responses) | | | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> Ziemba Peter M | | | 2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF] | | | | | g | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | |
| | (First) OMTREE ENTS, INC., 38 AVENUE, 21 | | 3. Date of (Month/D 12/06/20 | ay/Year) | ransactio | n | | | Director X Officer (giv below) Chi | | | |
| | | | | 4. If Amendment, Date Original Filed(Month/Day/Year) | | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person | | | |
| NEW YOR | K, NY 10017 | | | | | | | | | More than One R | | |
| (City) | (State) | (Zip) | Table | e I - Non-l | Derivati | ve S | ecurit | ties Ac | quired, Disposed o | of, or Beneficia | lly Owned | |
| 1.Title of Security (Instr. 3) | ty (Month/Day/Year) Execution Date, if | | | 3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A) or Code V Amount (D) Price | | | | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | |
| Common | 12/06/2012 | | | CI | 1 2 00 | 0 | р | ¢ 0 | (71, 477, (1)) | D | | |

12/06/2013 V 3,800 671,477 <u>(1)</u> D G D \$0 Stock Common By 12/06/2013 G V 1,800 Α \$0 8,800 I Daughter Stock Common By Son 12/06/2013 G V 1,800 Α \$0 13,800 Ι Stock

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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 Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 4. Transactio Code (Instr. 8) | 5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | Unde Secur | unt of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr |
|---|---|---|--|---|---------------------|--------------------|---------------|--|---|--|
| | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|--|---------------|-----------|---------------------|-------|--|--|--|
| tepoting of the tank the second | Director | 10% Owner | Officer | Other | | | |
| Ziemba Peter M C/O WISDOMTREE INVESTMENTS, INC. 380 MADISON AVENUE, 21ST FLOOR NEW YORK, NY 10017 | | | Chief Legal Officer | | | | |
| Signatures | | | | | | | |

/s/ Peter M. 12/17/2013 Ziemba **Signature of 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).

Includes (i) restricted stock award which vests as to 28,330 shares on January 22, 2014 and as to 14,165 shares on January 25, 2015 and (1) as to 14,166 shares on January 22, 2016, and (ii) restricted stock award which vests as to 37,500 shares on each of January 25, 2014, 2015 and 2016 and (iii) restricted stock which vests as to 25,000 shares on each of January 27, 2014 and 2015.

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.

Reporting Person