Schwartz Jeremy Form 3 November 01, 2018

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

Estimated average burden hours per

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 30(h) of the Investment Company Act of 1940

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Schwartz Jeremy

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

11/01/2018

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. [WETF]

4. Relationship of Reporting

Person(s) to Issuer (Check all applicable) 5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O WISDOMTREE INVESTMENTS, INC., Â 245 PARK AVENUE, 35TH FLOOR

(Street)

Director \_X\_\_ Officer (give title below) (specify below)

Global Head of Research

10% Owner Other

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

NEW YORK. NYÂ 10167

(State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned

(City)

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

Ownership Form:

3.

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

Common Stock 554,114 (1)

D

Â

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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 control number.

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

1. Title of Derivative Security (Instr. 4)

**Expiration Date** (Month/Day/Year)

2. Date Exercisable and 3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

4. 5. Ownership Conversion or Exercise Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Price of Derivative Derivative Security:

## Edgar Filing: Schwartz Jeremy - Form 3

Date Expiration Title Exercisable Date

Amount or Security Number of Shares Direct (D) or Indirect (I) (Instr. 5)

**Reporting Owners** 

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Schwartz Jeremy

C/O WISDOMTREE INVESTMENTS, INC. 245 PARK AVENUE, 35TH FLOOR NEW YORK, NYÂ 10167

Â Global H

Global Head of Research Â

**Signatures** 

/s/ Marci Frankenthaler, Attorney-in-Fact

11/01/2018

Â

\*\*Signature of Reporting Person

Date

## **Explanation of Responses:**

- \* 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).
- (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.

Â

## **Remarks:**

Exhibit 24 - Power of Attorney

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 Owners 2