Edgar Filing: WisdomTree Investments, Inc. - Form 4

WisdomTree Investments, Inc. Form 4 January 26, 2015

| January 26, 20 | 015 | | | | | | | | | | |
|--|-----------------------|---|---|---------------------------------------|---------------------|------------------|--|---|---|-----------|--|
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION | | | | | | | | | OMB APPROVAL | | |
| | UNITED S | TATES SE | CURITI Washin | | | | NGE (| COMMISSION | OMB Number: | 3235-0287 | |
| Check this if no longe | ar | | | Expires: | January 31, 2005 | | | | | | |
| subject to Section 16 Form 4 or Form 5 | 51A1E MI 5. | | NERSHIP OF | Estimated a burden hou response | average Irs per | | | | | | |
| Form 5 obligations may continue. See Instruction 1(b). 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 | | | | | | | | | | | |
| (Print or Type R | esponses) | | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> Ziemba Peter M | | | 2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc. | | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
| | | ETF] | e inve | stments, | Inc. | | (Check all applicable) | | | | |
| (Last) | (First) (M | irst) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) | | | | | Director 10% Owner _X Officer (give title Other (specify below) below) | | | | |
| C/O WISDO INVESTME AVENUE, 3 | | 01/14/2015 | | | | | Chief Legal Officer | | | | |
| | 4. I | 4. If Amendment, Date Original | | | | | 6. Individual or Joint/Group Filing(Check | | | | |
| Filed(Mon NEW YORK, NY 10167 | | | | Ionth/Day/Year) | | | | Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person | | | |
| (City) | (State) (Z | Zip) | Tabla I - | Non-De | rivativa (| locuri | tios A.c | quired, Disposed of | f or Bonoficial | ly Owned | |
| 1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deen Execution any (Month/D | | | med 3. 4. Securities | | | or)) | 5. Amount of Securities Beneficially | | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| ä | | | Co | ode V | Amount | (A) or (D) | Price | Reported Transaction(s) (Instr. 3 and 4) | | | |
| Common Stock | 01/14/2015 | | I | F | 4,062 (1) | D | \$0 | 655,192 <u>(2)</u> | D | | |
| Common Stock | | | | | | | | 15,300 | I | By Son | |

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

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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) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transactic Code (Instr. 8) | 5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | Expiration D (Month/Day, e | Expiration Date (Month/Day/Year) | | le and int of rlying ities . 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur 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 | | | | | | | |
|---|---------------|-----------|---------------------|-------|--|--|--|--|
| 1 | Director | 10% Owner | Officer | Other | | | | |
| Ziemba Peter M C/O WISDOMTREE INVESTMENTS, INC. 245 PARK AVENUE, 35TH FLOOR NEW YORK, NY 10167 | | | Chief Legal Officer | | | | | |
| Signatures | | | | | | | | |
| /s/ Marci Frankenthaler, Attorney-in-Fact | 01/16/20 | 15 | | | | | | |
| **Signature of Reporting Person | Date | | | | | | | |
| Explanation of Responses: | | | | | | | | |

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) Surrender of common stock to Issuer upon vesting of restricted stock award to cover withholding taxes.

Includes restricted stock awards which vest as to (i) 14,165 shares on January 22, 2015, (ii) 14,166 shares on January 22, 2016, (iii) (2) 37,500 shares on each of January 25, 2015 and 2016, (iv) 25,000 shares on January 27, 2015, (v) 10,055 shares on January 14, 2016 and (vi) 10,057 shares on January 14, 2017.

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.