### Edgar Filing: WisdomTree Investments, Inc. - Form 4

WisdomTree Investments, Inc. Form 4 September 10, 2013

September 1	0, 2013										
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION								OMB APPROVAL			
	UNITE	DSTATES			AND EXC 1, D.C. 205		IGE CC	DMMISSION	OMB Number:	3235-0287	
Check th			vv a	sington	, D.C. 203				Expires:	January 31,	
if no lon subject to Section 2 Form 4 c	o <b>SIAII</b> 16.	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES									
Form 5 obligatio may con <i>See</i> Instr 1(b).	tinue. Section 1	7(a) of the	Public U	tility Hol		pany	Act of 1	Act of 1934, 935 or Section	response	0.5	
(Print or Type	Responses)										
Steinberg Jonathan L System					<b>d</b> Ticker or T vestments,		>	5. Relationship of Reporting Person(s) to Issuer			
			[WETF		estinents,	me.		(Check	all applicable	)	
(Last)	(First)	(Middle)						_X Director _X Officer (give		Owner r (specify	
380 MADIS FLOOR	SON AVENUE	, 21ST	09/09/2	-			b	elow) Chief E	below) xecutive Office	er	
	(Street)			endment, D onth/Day/Yea	ate Original <sup>(r)</sup>		Α	6. Individual or Joi Applicable Line) X_ Form filed by O	ne Reporting Per	rson	
NEW YOR	K, NY 10017						P	Form filed by Me Person	ore than One Re	porting	
(City)	(State)	(Zip)	Tab	le I - Non-	Derivative S	ecurit	ies Acqui	red, Disposed of,	or Beneficial	y Owned	
1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year)			n Date, if	3. 4. Securities Acquired (A) Transaction Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) (A)				5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code V	Amount	or (D)	Price	(Instr. 3 and 4)	(111501. 1)		
Common Stock	09/09/2013			М	187,500	А	\$ 0.03	4,621,451 <u>(2)</u>	D		
Common Stock	09/09/2013			S	112,500	D	\$ 11.54 (3)	4,508,951 <u>(2)</u>	D		
Common Stock								798	Ι	Owned by Spouse	

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)

#### Edgar Filing: WisdomTree Investments, Inc. - Form 4

# 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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. Number of tiorDerivative 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 Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy)	\$ 0.03	09/09/2013		М		187,500	<u>(1)</u>	03/16/2014	Common Stock	187,500

## **Reporting Owners**

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
Steinberg Jonathan L 380 MADISON AVENUE 21ST FLOOR NEW YORK, NY 10017	Х		Chief Executive Officer					
Signatures								
/s/ Peter M. Ziemba, Attorney-in-Fact		09/10/20	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) Exercisable as to 300,000 shares each on March 17, 2005, 2006, 2007, 2008 and 2009 and as to 1,500,000 additional shares at such time as the issuer has achieved at least \$1.00 in net income in two consequentive fiscal quarters.
- (2) Includes restricted stock vesting as to 150,841 shares on January 22, 2014 and as to 75,421 shares on each of January 22, 2015 and 2016.

The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$11.50 to \$11.62, inclusive. The reporting person undertakes to provide to WisdomTree Investments, Inc., any security holder of

WisdomTree 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 (3) 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.

(3)