

WisdomTree Investments, Inc.  
 Form 4  
 August 25, 2014

# FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

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### 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 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
 Ziembra Peter M

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)

3. Date of Earliest Transaction (Month/Day/Year)  
 08/22/2014

\_\_\_\_ Director  
 Officer (give title below)  
 \_\_\_\_ 10% Owner  
 \_\_\_\_ Other (specify below)  
 Chief Legal Officer

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

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

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

NEW YORK, NY 10167

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  | Code                           | V   | Amount or Price (A) or (D)  |  |   |
| Common Stock                    | 08/22/2014                           |  | M                              |   | 44,650 A \$ 1.07  | 707,604 <sup>(2)</sup>                                   | D   |
| Common Stock                    | 08/22/2014                           |  | S                              |   | 44,650 D \$ 11.02   | 662,954 <sup>(2)</sup>                                   | D   |
| Common Stock                    | 08/25/2014                           |  | M                              |   | 5,350 A \$ 1.07   | 668,304 <sup>(2)</sup>                                   | D   |
| Common Stock                    | 08/25/2014                           |  | S                              |   | 5,350 D \$ 11.28  | 662,954 <sup>(2)</sup>                                   | D   |

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(4)

|              |        |   |             |
|--------------|--------|---|-------------|
| Common Stock | 8,800  | I | By Daughter |
| Common Stock | 13,800 | I | By Son      |

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

**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.**

SEC 1474  
(9-02)

**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. Transaction Code (Instr. 8) | 5. Number of Derivative 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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable Expiration Date                         | Title   |                               |
| Stock Option (right to buy)                | \$ 1.07  | 08/22/2014                           |  | M                              | 44,650  | <u>(1)</u> 04/22/2017                                    | Common Stock  | 44,650                        |
| Stock Option (right to buy)                | \$ 1.07  | 08/25/2014                           |  | M                              | 5,350   | <u>(1)</u> 04/22/2017                                    | Common Stock  | 5,350                         |

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

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

08/25/2014

\_\_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).
  - Exercisable (at an exercise price of \$6.35 per share) as to 200,000 shares vesting on each of April 27, 2008, 2009, 2010, and 2011.
- (1) Modified on January 26, 2009 to also become exercisable (at an exercise price of \$1.07 per share) as to 200,000 shares on each of January 27, 2010, 2011, 2012 and 2013.
  - Includes (i) restricted stock award which vests as to 14,165 shares on January 25, 2015 and as to 14,166 shares on January 22, 2016, and
- (2) (ii) restricted stock award which vests as to 37,500 shares on each of January 25, 2015 and 2016 and (iii) restricted stock which vests as to 25,000 shares on January 27, 2015.
  - The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$11.00 to
- (3) \$11.16, 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.
  - The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$11.08 to
- (4) \$11.52, 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 (4) to this Form 4.

### Remarks:

Exhibit Index: Exhibit 24 Power of Attorney by Peter M. Ziembra

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.