Edgar Filing: WisdomTree Investments, Inc. - Form 4

WisdomTree Investments, Inc. Form 4 January 30, 2017

January 30, 2	2017											
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSI								OMB APPROVAL				
	• • UNITE	D STATES					IGE (COMMISSION	OMB Number:	3235-0287		
Check thi if no long subject to Section 10 Form 4 or	6.									January 31, 2005 average rs per 0.5		
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	Responses)											
Steinberg Jonathan L S			2. Issuer Name and Ticker or Trading Symbol WisdomTree Investments, Inc.					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
			[WETF]	[WETF]								
			3. Date of Earliest Transaction (Month/Day/Year) 01/27/2017					X Director 10% Owner X Officer (give title Other (specify below) below) Chief Executive Officer				
(Street) 4. If Ame				endment, Date Original				6. Individual or Joint/Group Filing(Check				
Filed(Mo NEW YORK, NY 10167				nth/Day/Year)				Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person				
(City)	(State)	(Zip)	Table	e I - Non-Do	erivative S	ecurit	ies Acq	uired, Disposed o	f, or Beneficial	lly Owned		
1.Title of Security (Instr. 3)	2. Transaction I (Month/Day/Ye	ear) Execution any	emed on Date, if 'Day/Year)	3. Transactio Code (Instr. 8)	n(A) or Dis (D)	sposed	of	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Indirect Beneficial		
C				Code V	Amount	(D)	Price	(Instr. 3 and 4)				
Common Stock	01/27/2017			F	76,360 (1)	D	\$0	7,385,852 (2)	D			
Common Stock								798	Ι	By Spouse		
Common Stock	01/28/2017			F	15,474 (1)	D	\$0	7,370,378 <u>(3)</u>	D			
Common Stock								798	Ι	By Spouse		

Edgar Filing: WisdomTree Investments, Inc. - Form 4

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.

 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)	of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,	5	ate	Secur	int of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
			Code V	4, and 5) (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Steinberg Jonathan L C/O WISDOMTREE INVESTMENTS, INC. 245 PARK AVENUE, 35TH FLOOR NEW YORK, NY 10167	Х		Chief Executive Officer				
Signatures							
/s/ Marci Frankenthaler, Attorney-in-Fact	01/30/20	17					
**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) Surrender of common stock to Issuer upon vesting of restricted stock award to cover withholding taxes.
- (2) Includes restricted stock awards which vest as to (i) 37,539 shares on January 28, 2017, (ii) 37,550 shares on January 28, 2018, (iii) 147,291 shares on January 27, 2018 and (iv) 147,290 shares on January 27, 2019.
- (3) Includes restricted stock awards which vest as to (i) 37,550 shares on January 28, 2018, (ii) 147,291 shares on January 27, 2018 and (iii) 147,290 shares on January 27, 2019.

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.