

# WISDOMTREE INVESTMENTS, INC.

# Reported by **ZIEMBA PETER M**

### FORM 4

(Statement of Changes in Beneficial Ownership)

### Filed 01/02/18 for the Period Ending 12/14/17

Address 245 PARK AVENUE

35TH FLOOR

**NEW YORK, NY, 10167** 

Telephone 212-801-2080

CIK 0000880631

Symbol WETF

SIC Code 6211 - Security Brokers, Dealers and Flotation Companies

Industry Investment Management & Fund Operators

Sector Financials

Fiscal Year 12/31



[] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

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

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response... 0.5

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person *					2. Issuer Name <b>and</b> Ticker or Trading Symbol								5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
Ziemba Peter M					WisdomTree Investments, Inc. [ WETF ]							` 11	,				
(Last) (First) (Middle)					3. Date of Earliest Transaction (MM/DD/YYYY)							Director					
C/O WISDOMTREE INVESTMENTS, INC., 245 PARK AVENUE, 35TH FLOOR					12/14/2017							X Officer (g			Other (speci	fy below)	
(Street)					4. If Amendment, Date Original Filed (MM/DD/YYYY)							Y) 6. Individual of	6. Individual or Joint/Group Filing (Check Applicable Line)				
NEW YORK, NY 10167 (City) (State) (Zip)													X Form filed by One Reporting Person Form filed by More than One Reporting Person				
							urities A	cqui	red, Di	sposed o	of, or I	Beneficially Owner	ed				
1. Title of Security (Instr. 3)  2. Trans. Da				. Trans. Date	te 2A. Deemed Execution Date, if any  3. Trans. Cod (Instr. 8)  Code		ode V	or Dispo	ties Acquised of (D) 4 and 5)  (A) or (D)		5. Amount of Securi Following Reported (Instr. 3 and 4)	ities Beneficially Owned Transaction(s)		Form: Direct (D)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock 12/14/2017				12/14/2017			G	V	2650	D	\$0.00 <u>(</u>	86	1454 (2)		D		
Common Stock 12/29/201				12/29/2017			F		1984 (3)	D	\$0.00	85	9470 (4)		D		
Common Stock 12/29/201				12/29/2017			F		15459 (3)	D	\$0.00	844011 (4)		D			
Common Stock 12/29/2017				12/29/2017			F		6565 (3)	D	\$0.00	83	837446 ( <u>4</u> )		D		
	Tab	le II - Der	ivative :	Securitie	s Bene	ficially	Owned	( e.g.	, puts,	calls, w	arran	ts, options, conve	rtible sec	urities)			
Security (Instr. 3)	2. Conversion or Exercise Price of Derivative	Date	3A. Deen Execution Date, if a	n (Instr.	Acquir Dispos				6. Date Exercisable and Expiration Date			and Amount of ies Underlying tive Security 3 and 4)	nderlying Derivative Security Security		Ownership Form of Derivative Security:	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
	Security			Cod	e V	(A)	(D)	Dat Exe	ercisable	Expiration Date		Amount or Number of Shares	R T	Following Reported Transaction(s) (Instr. 4)	Direct (D) or Indirect (I) (Instr. 4)		

#### **Explanation of Responses:**

- (1) Shares transferred by the Reporting Person as a bona fide gift without consideration.
- (2) Includes restricted stock awards which vest as to (i) 14,072 shares on January 28, 2018, (ii) 29,976 shares on January 27, 2018, (iii) 29,977 shares on January 27, 2019, (iv) 3,847 shares on each of January 25, 2018 and 2019 and (v) 3,848 shares on January 25, 2020.
- (3) Surrender of common stock to Issuer to cover withholding taxes upon accelerated vesting of restricted stock award originally scheduled to vest in January 2018.
- (4) Includes restricted stock awards which vest as to (i) 29,977 shares on January 27, 2019, (ii) 3,847 shares on January 25, 2019 and (iii) 3,848 shares on January 25, 2020.

#### **Reporting Owners**

Paparting Owner Name / Address	Relationships							
Reporting Owner Name / Address	Director	10% Owner	Officer	Other				
Ziemba Peter M C/O WISDOMTREE INVESTMENTS, INC. 245 PARK AVENUE, 35TH FLOOR NEW YORK, NY 10167			Chief Administrative Officer					

#### **Signatures**

\*\*Signature of Reporting Person

Date

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

- 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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.