## Edgar Filing: Ziemba Peter M - Form 4

Zieneles Deter M

| Form 4   | IVI   |                      |   |  |  |   |   |  |  |                               |
|--|---|----------------------|---|--|--|---|---|--|--|-------------------------------|
| January 29, 2  |   |                      |   |  |  |   |   |  | OMB A  | PROVAL                        |
| FORM   | 4 UNITE   |                      | SECURITIES AND EXCHANGE COMMISSION<br>Washington, D.C. 20549                                    |  |  |   |   |  | 3235-0287  |                               |
| Check this<br>if no long<br>subject to   | STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF   |                      |   |  |  |   |   | Expires:<br>Estimated a  | res: January 31,<br>2005<br>nated average                            |                               |
| Section 16<br>Form 4 or<br>Form 5<br>obligation<br>may conti<br><i>See</i> Instru<br>1(b). | SECURITIES<br>Section 16(a) of the Securities Exchange Act of 1934,<br>Public Utility Holding Company Act of 1935 or Section<br>) of the Investment Company Act of 1940 |                      |   |  |  |   |   |  |  |                               |
| (Print or Type R   | esponses)   |                      |   |  |  |   |   |  |  |                               |
| 1. Name and Address of Reporting Person <u>*</u><br>Ziemba Peter M                         |   |                      | 2. Issuer Name <b>and</b> Ticker or Trading<br>Symbol<br>WisdomTree Investments, Inc.<br>[WETF] |  |  |   | 5. Relationship of Reporting Person(s) to<br>Issuer<br>(Check all applicable) |  |  |                               |
|  | (First)<br>MTREE<br>NTS, INC., 24<br>5TH FLOOR  | (Middle)<br>5 PARK   |   | Earliest Tra<br>ay/Year)                         | ansaction  |   |   | Director<br>X Officer (give<br>below)<br>Chief Ad  |  | Owner<br>er (specify<br>ficer |
|  | 4. If Amendment, Date Original Filed(Month/Day/Year)  |                      |   |  |  | 6. Individual or Joint/Group Filing(Check<br>Applicable Line)<br>_X_ Form filed by One Reporting Person |   |  |  |                               |
| NEW YORK   | K, NY 10167   |                      |   |  |  |   |   |  | Iore than One Re   |                               |
| (City)   | (State)   | (Zip)                | Table   | e I - Non-D                                      | erivative S  | ecurit  | ies Acq   | uired, Disposed of   | f, or Beneficial   | ly Owned                      |
| 1.Title of<br>Security<br>(Instr. 3)   | 2. Transaction D<br>(Month/Day/Yea  | ar) Execution<br>any |   | 3.<br>Transactio<br>Code<br>(Instr. 8)<br>Code V | 4. Securit<br>on(A) or Dis<br>(D)<br>(Instr. 3, 4) | sposed  | of  | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) |                               |
| Common<br>Stock  | 01/25/2018  |                      |   | А  | 34,398<br>(1)                                      | А   | \$0   | 871,844 <u>(2)</u>   | D  |                               |

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)

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| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5.<br>ofNumber<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) |                     | ate                | 7. Titl<br>Amou<br>Under<br>Secur<br>(Instr. | int of<br>rlying                       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secu<br>Bene<br>Owna<br>Follo<br>Repo<br>Trans<br>(Instr |
|---|---|---|---|--|---|---------------------|--------------------|--|--|---|--|
|   |   |   |   | Code V                                 | (A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of<br>Shares |   |  |

## **Reporting Owners**

| <b>Reporting Owner Name / Address</b>   | Relationships |           |                              |       |  |  |  |  |
|---|---------------|-----------|------------------------------|-------|--|--|--|--|
|   | Director      | 10% Owner | Officer                      | Other |  |  |  |  |
| Ziemba Peter M<br>C/O WISDOMTREE INVESTMENTS, INC.<br>245 PARK AVENUE, 35TH FLOOR<br>NEW YORK, NY 10167 |               |           | Chief Administrative Officer |       |  |  |  |  |
| Signatures  |               |           |                              |       |  |  |  |  |
| /s/ Marci Frankenthaler,<br>Attorney-in-Fact  | 01/29/202     | 18        |                              |       |  |  |  |  |
| <u>**</u> 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) Restricted stock awarded by Issuer on January 25, 2018 and vesting as to 11,466 shares on each of January 25, 2019, 2020 and 2021.
- (2) Includes restricted stock awards which vest as to (i) 15,313 shares on January 25, 2019, (ii) 29,977 shares on January 27, 2019, (iii) 15,314 shares on January 25, 2020 and (iv) 11,466 shares on January 25, 2021.

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.