WisdomTree Investments, Inc.

Form 4/A May 05, 2014

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

2. Issuer Name and Ticker or Trading

**OMB** Number:

3235-0287

Expires:

5. Relationship of Reporting Person(s) to

Issuer

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

may continue.

Check this box

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 See Instruction

Symbol

1(b).

(Print or Type Responses)

SALERNO FRANK

1. Name and Address of Reporting Person \*

			WisdomTree Investments, Inc. [WETF]					(Check all applicable)				
(Last)	(First)	(Middle)		f Earliest T Day/Year)	ransaction			Officer (give title O		% Owner her (specify		
C/O WISD	OMTREE		02/14/2	•				below)	below)			
INVESTM	ENTS, INC., 2	245 PARK										
AVENUE,	35TH FLOOR	₹										
	(Street)	4. If Amo	endment, D	ate Original			6. Individual or Joint/Group Filing(Check					
	Filed(Month/Day/Year)							Applicable Line)				
02/15/201				2013				_X_ Form filed by One Reporting Person Form filed by More than One Reporting				
NEW YOR	K, NY 10167							Person				
(City)	(State)	(Zip)	Tab	le I - Non-l	Derivative S	ecurit	ies Acq	uired, Disposed o	f, or Beneficia	lly Owned		
1.Title of Security (Instr. 3)	2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if any (Month/Day/Year)			Code (Instr. 3, 4 and 5)				5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code V	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)	(Instr. 4)	(		
Common Stock	02/14/2013			M	100,000	D	\$ 2.03	175,589 (2)	D			
Common Stock	02/14/2013			S	55,000	D	\$ 8.96 (3)	120,589 (2)	D			
Common Stock	02/15/2013			S	45,000	D	\$ 9.01 (4)	75,589 <u>(2)</u>	D			
Common								17,321	I	Ву		

Hillcrest Financial, LLC

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. 5. Number of TransactionDerivative Code Securities (Instr. 8) 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)	\$ 2.03	02/14/2013		M		100,000	<u>(1)</u>	07/21/2015	Common Stock	100,000

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

SALERNO FRANK C/O WISDOMTREE INVESTMENTS, INC. 245 PARK AVENUE, 35TH FLOOR NEW YORK, NY 10167



## **Signatures**

Stock

/s/ Peter M. Ziemba, Attorney in Fact

05/05/2014

\*\*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).
- (1) Exercisable as to 150,000 shares on each of July 22, 2006, 2007 and 2008.
- (2) Includes 27,137 shares of restricted stock vesting as to 13,568 shares on July 27, 2013 and as to 13,569 shares on July 27, 2014.

(3)

Reporting Owners 2

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The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$8.88 to \$9.07, 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 footnotes (3) and (4) to this Form 4.

(4) The price included in Column 4 is a weighted price. These shares were sold in multiple transactions at prices ranging from \$8.95 to \$9.16, inclusive.

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.