Edgar Filing: WisdomTree Investments, Inc. - Form 4

WisdomTree Investments, Inc. Form 4 January 26, 2015

January 26, 2	015												
FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSI									OMB APPROVAL				
UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549									OMB Number:	3235-0287			
Check this if no long	-									January 31,			
subject to Section 16 Form 4 or Form 5	5. STATEMENT OF CHANGES IN BENEFICIAL OWNE 5. SECURITIES								Expires: Estimated a burden hou response	ted average hours per			
obligations may continue.Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1(b).													
(Print or Type R	esponses)												
BARTON GREGORY E Symbol				Name and '	Ticker or 7	Fradin	g	5. Relationship of Reporting Person(s) to Issuer					
				Tree Inve	stments,	Inc.		(Check all applicable)					
(Last)	Earliest Transaction y/Year)				Director 10% Owner X Officer (give title Other (specify below) below)								
	NTS, INC., 245 F)1/14/20	15				below) Chief (Operating Office	cer			
AVENUE, 3	5TH FLOOR												
	(Street) 4. If Amer Filed(Mont				e Original			6. Individual or Joint/Group Filing(CheckApplicable Line)_X_ Form filed by One Reporting Person					
NEW YORK	K, NY 10167							Form filed by M Person	Iore than One Re	eporting			
(City)	(State) (2	Zip)	Table	I - Non-De	erivative S	Securi	ties Aco	quired, Disposed of	f, or Beneficial	lly Owned			
1.Title of Security (Instr. 3)	Execution any	2A. Deemed Execution Date, if my Month/Day/Year)		3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)			Securities Beneficially Owned	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)				
-				Code V		(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)					
Common Stock	01/14/2015			F	6,956 (1)	D	\$0	210,866 <u>(2)</u>	D				
Reminder: Repo	ort on a separate line f	or each clas	s of securi	ities benefic	cially own	ed dire	ectly or	indirectly.					

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 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of 2. Derivative Conversion Security or Exercise (Instr. 3) Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transact: Code (Instr. 8)	5. orNumber of Derivativ Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration D (Month/Day/ e	6. Date Exercisable and Expiration Date (Month/Day/Year)		le and unt of rlying rities : 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Own Follo Repo Trans (Instr
Reporting O	wners		Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Relationships **Reporting Owner Name / Address** Director 10% Owner Officer BARTON GREGORY E C/O WISDOMTREE INVESTMENTS, INC. Chief Operating Officer 245 PARK AVENUE, 35TH FLOOR NEW YORK, NY 10167 Signatures /s/ Marci Frankenthaler, 01/16/2015 Attorney-in-Fact

Date

**Signature of Reporting Person

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.
- Includes restricted stock awards vesting as to (i) 1,893 shares on January 22, 2015, (ii) 1,894 shares on January 22, 2016, (iii) 17,941 (2) shares on each of January 14, 2016 and 2017 and (iv) 50,000 shares on each of October 8, 2015 and 2016.

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.

Other