Abner David J. Form 3 January 08, 2018

### FORM 3

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

**OMB APPROVAL** 

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

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 Responses)

1. Name and Address of Reporting

Person \*

Abner David J.

(Last)

1. Title of Security

(Instr. 4)

(First)

(Middle)

Statement

(Month/Day/Year)

01/01/2018

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

WisdomTree Investments, Inc. [WETF]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Head of WisdomTree Europe

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O WISDOMTREE

INVESTMENTS, INC., Â 245 PARK AVENUE. 35TH FLOOR

(Street)

Director \_X\_\_ Officer

10% Owner

Other (give title below) (specify below)

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

NEW YORK. NYÂ 10167

(City) (State) (Zip)

> 2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial Ownership

(Instr. 5) Form:

Direct (D) or Indirect

Â

(I) (Instr. 5)

Common Stock  $129,167 \frac{(1)}{2}$ D

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

4. 5. Conversion or Exercise Price of

6. Nature of Indirect Beneficial Ownership Form of Ownership

(Instr. 5)

Derivative Derivative Security:

#### Edgar Filing: Abner David J. - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	01/26/2010(2)	03/31/2018	Common Stock	50,000	\$ 1.07	D	Â
Stock Option (right to buy)	02/15/2012	01/27/2020	Common Stock	35,000	\$ 2.25	D	Â
Stock Option (right to buy)	02/15/2012	02/04/2020	Common Stock	65,000	\$ 2.26	D	Â
Stock Option (right to buy)	01/27/2013	01/26/2021	Common Stock	50,000	\$ 5.05	D	Â

## **Reporting Owners**

Reporting Owner Name / Address		Relationships				
<b></b>	Director	10% Owner	Officer	Other		
Abner David J. C/O WISDOMTREE INVESTMENTS, INC. 245 PARK AVENUE, 35TH FLOOR NEW YORK, NY 10167	Â	Â	Head of WisdomTree Europe	Â		

### **Signatures**

/s/ Marci Frankenthaler,
Attorney-in-Fact
01/08/2018

\*\*Signature of Reporting Person Date

# **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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) Includes restricted stock awards vesting as to (i) 39,600 shares on each of August 1, 2018 and 2019, (ii) 9,010 shares on January 27, 2019 and (iii) 2,402 shares on each of January 25, 2019 and 2020.
- (2) Exercisable as to 37,500 shares on each of January 26, 2010, 2011, 2012 and 2013, of which 100,000 shares have been exercised. 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.

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