

WORKIVA INC  
Form 4  
February 03, 2017

**FORM 4**

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

OMB APPROVAL

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**STATEMENT OF CHANGES IN 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 \*  
Miller J Stuart

(Last) (First) (Middle)  
2900 UNIVERSITY BOULEVARD  
(Street)

AMES, IA 50010

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
WORKIVA INC [WK]

3. Date of Earliest Transaction  
(Month/Day/Year)  
02/01/2017

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Executive VP, Treasurer & CFO

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| Class A Common Stock            |                                      |  |                                | (A) or (D) Price  | 177,857   | D  |                                   |

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

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SEC 1474 (9-02)

**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 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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities 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 Number of Shares |
| Employee Stock Option to Purchase Class A Common Stock <sup>(1)</sup> | \$ 12.4  | 02/01/2017                           |  | A                              | 37,407  | 02/01/2018 <sup>(2)</sup>                                | 02/01/2027  | Class A Common Stock | 37,407                  |
| Employee Stock Option to Purchase Class A Common Stock <sup>(1)</sup> | \$ 13.55   |                                      |  |                                |   | 12/05/2017 <sup>(3)</sup>                                | 01/03/2027  | Class A Common Stock | 55,000                  |
| Employee Stock Option to Purchase Class A Common Stock <sup>(1)</sup> | \$ 14.74   |                                      |  |                                |   | 02/01/2017 <sup>(2)</sup>                                | 02/01/2026  | Class A Common Stock | 31,400                  |
| Employee Stock Option to Purchase Class A Common Stock <sup>(4)</sup> | \$ 15.83   |                                      |  |                                |   | 08/12/2015 <sup>(5)</sup>                                | 08/11/2024  | Class A Common Stock | 39,600                  |
| Employee Stock Option to Purchase Class A Common Stock <sup>(4)</sup> | \$ 15.86   |                                      |  |                                |   | 04/07/2015 <sup>(5)</sup>                                | 04/06/2024  | Class A Common Stock | 174,000                 |

## Reporting Owners

| Reporting Owner Name / Address                                 | Relationships |           |                               |       |
|--|---------------|-----------|-------------------------------|-------|
|  | Director      | 10% Owner | Officer                       | Other |
| Miller J Stuart<br>2900 UNIVERSITY BOULEVARD<br>AMES, IA 50010 |               |           | Executive VP, Treasurer & CFO |       |

## Signatures

/s/ Troy M. Calkins as attorney-in-fact for J. Stuart  
Miller

02/03/2017

\_\_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) Granted pursuant to the 2014 Equity Incentive Plan.
- (2) Vests in three equal annual installments commencing on the first anniversary of the grant date.
- (3) Vests as to 25% of the shares on April 1, 2016 and as to 6.25% of the shares at the end of each three-month period thereafter.
- (4) Granted pursuant to the 2009 Unit Incentive Plan.
- (5) Vests as to 25% of the shares on the first anniversary of the grant date and as to 6.25% of the shares at the end of each three-month period thereafter.

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.