WORKIVA INC Form 4

February 07, 2017

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB APPROVAL OMB 3235-0287

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Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Miller J Stuart Issuer Symbol WORKIVA INC [WK] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X_ Officer (give title _ Other (specify 2900 UNIVERSITY BOULEVARD 02/06/2017 below) Executive VP, Treasurer & CFO (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting AMES, IA 50010 Person (C:tr.) (State) (7:-

(City)	(State) (Table	e I - Non-D	erivative Secur	rities Acq	uired, Disposed of	, or Beneficiall	y Owned
1.Title of Security	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if	3. Transactio	4. Securities A		5. Amount of Securities	6. Ownership Form: Direct	7. Nature of Indirect
(Instr. 3)	(any	Code (Instr. 3, 4 and 5)			Beneficially	(D) or	Beneficial
		(Month/Day/Year)	(Instr. 8)			Owned Following	Indirect (I) (Instr. 4)	Ownership
				(A) or		Reported Transaction(s) (Instr. 3 and 4)	(Ilisti. 4)	(Instr. 4)
			Code V	Amount (D)	Price	(IIIsti. 3 aliu 4)		
Class A Common Stock	02/06/2017		F(1)	9,140 D	\$ 12.85	168,717	D	

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

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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. Transactic Code (Instr. 8)	of	rative rities ired rosed)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option to Purchase Class A Common Stock (2)	\$ 12.4						02/01/2018(3)	01/31/2027	Class A Common Stock	37,407
Employee Stock Option to Purchase Class A Common Stock (2)	\$ 13.55						12/05/2017 <u>(4)</u>	01/03/2027	Class A Common Stock	550
Employee Stock Option to Purchase Class A Common Stock (2)	\$ 14.74						02/01/2017(3)	01/31/2026	Class A Common Stock	31,469
Employee Stock Option to Purchase Class A Common Stock (5)	\$ 15.83						08/12/2015 <u>(6)</u>	08/11/2024	Class A Common Stock	39,600
Employee Stock Option to Purchase Class A Common Stock (5)	\$ 15.86						04/07/2015 <u>(6)</u>	04/06/2024	Class A Common Stock	174,240

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Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Miller J Stuart

2900 UNIVERSITY BOULEVARD

Executive VP, Treasurer & CFO

AMES, IA 50010

Signatures

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

02/07/2017

**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) Shares delivered to the issuer for the payment of witholding taxes due upon the vesting of restricted stock previously granted.
- (2) Grant of stock option pursuant to the 2014 Equity Incentive Plan.
- (3) Vests in three equal annual installments commencing on the first anniversary of the grant date.
- (4) Vests as to 25% of the shares on December 5, 2017 and then 6.25% of the shares at the end of each three-month period thereafter.
- (5) Granted pursuant to 2009 Unit Incentive Plan.
- 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.

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