Edgar Filing: Calkins Troy M. - Form 4

Calling Trees M

Form 4	/ 101.										
January 23, 2	2019										
FORM	STATES S	S SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549						OMB AF OMB Number:	PROVAL 3235-0287		
Check th if no long subject to Section 1 Form 4 o Form 5 obligatio may cont <i>See</i> Instru 1(b).	6. ^{ns} Filed pur ^{ns} Section 17(a)	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								January 31, 2005 iverage rs per 0.5	
(Print or Type I	Responses)										
1. Name and Address of Reporting Person <u>*</u> Calkins Troy M.			2. Issuer Name and Ticker or Trading Symbol WORKIVA INC [WK]					5. Relationship of Reporting Person(s) to Issuer			
(Last) (First) (Middle) 3			3. Date of Earliest Transaction (Month/Day/Year) 01/18/2019					(Check all applicable) <u></u> Director 10% Owner <u></u> Officer (give title 0ther (specify below) EVP, CLO & Corp Secretary			
			ndment, Date Original hth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person				
(City)	(State)	(Zip)	Table	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if any (Month/Day/Year)		3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) (A) or Code V Amount (D) Price			d of (D) 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)			
Class A Common Stock	01/18/2019			F <u>(1)</u>	963	(D) D	Price \$ 38.22	276,603 (2)	D		
Class A Common Stock	01/19/2019			F <u>(1)</u>	584	D	\$ 38.22	276,019 <u>(2)</u>	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)

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. Transactio Code (Instr. 8)	5. of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisab 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
Employee Stock Option to Purchase Class A Common Stock (<u>3)</u>	\$ 12.4					02/01/2018 <u>(2)</u>	01/31/2027	Class A Common Stock	37,407
Employee Stock Option to Purchase Class A Common Stock (<u>3)</u>	\$ 14.74					02/01/2017 <u>(2)</u>	01/31/2026	Class A Common Stock	31,469
Employee Stock Option to Purchase Class A Common Stock (4)	\$ 15.83					08/12/2015 <u>(5)</u>	08/11/2024	Class A Common Stock	39,600
Employee Stock Option to Purchase Class A Common Stock (<u>4)</u>	\$ 15.86					03/27/2015 <u>(5)</u>	03/26/2024	Class A Common Stock	9,900
Employee Stock Option to Purchase Class A	\$ 15.86					02/25/2015 <u>(5)</u>	02/24/2024	Class A Common Stock	108,900

Common Stock (4)

Reporting Owners

Reporting Owner Name / Address

Relationships Officer

10% Owner

Other

Calkins Troy M. 2900 UNIVERSITY BOULEVARD AMES, IA 50010

EVP, CLO & Corp Secretary

Signatures

/s/ Troy M. 01/23/2019 Calkins

**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 units previously granted.
- (2) Vests in three equal annual installments commencing on the first anniversary of the grant date.

Director

- (3) Grant of stock option pursuant to the 2014 Equity Incentive Plan.
- (4) 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 (5) 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.