

TROM JEFF D  
Form 4  
February 05, 2019

**FORM 4**

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 \*  
TROM JEFF D

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

3. Date of Earliest Transaction (Month/Day/Year)  
02/01/2019

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

AMES, IA 50010  
(City) (State) (Zip)

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

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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |  |
| Class A Common Stock            | 02/01/2019                           |  | A <sup>(1)</sup>               |   | 38,700<br><u>(2)</u>  | A  | \$ 41.86 335,239 D                         |
| Class A Common Stock            | 02/01/2019                           |  | F <sup>(3)</sup>               |   | 464   | D  | \$ 41.86 334,775 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)

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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. 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 or Number of Shares |
| Class B Common Stock                                       | (4)  |                                      |  |                                |   | (4)  | (4)   | Class A Common Stock | 1,604,642                  |
| Class B Common Stock (4)                                   | (4)  |                                      |  |                                |   | (4)  | (4)   | Class A Common Stock | 140,000                    |
| Class B Common Stock (4)                                   | (4)  |                                      |  |                                |   | (4)  | (4)   | Class A Common Stock | 328,402                    |
| Employee Stock Option to Purchase Class A Common Stock (5) | \$ 12.4  |                                      |  |                                |   | 02/01/2018(2)  | 01/31/2027  | Class A Common Stock | 25,215                     |
| Employee Stock Option to Purchase Class A Common Stock (6) | \$ 15.83   |                                      |  |                                |   | 08/12/2015(7)  | 08/11/2024  | Class A Common Stock | 178,200                    |
| Employee Stock Option to Purchase Class A Common Stock (5) | \$ 14.74   |                                      |  |                                |   | 02/01/2017(2)  | 01/31/2026  | Class A Common Stock | 21,212                     |

## Reporting Owners

| Reporting Owner Name / Address                             | Relationships |           |                    |       |
|--|---------------|-----------|--------------------|-------|
|  | Director      | 10% Owner | Officer            | Other |
| TROM JEFF D<br>2900 UNIVERSITY BOULEVARD<br>AMES, IA 50010 |               | X         | Executive VP & CTO |       |

## Signatures

/s/ Troy M. Calkins as attorney-in-fact for Jeffrey D.  
Trom

02/05/2019

\_\_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) Grant of restricted stock units pursuant to the 2014 Equity Incentive Plan.
- (2) Vests in three equal annual installments commencing on the first anniversary of the grant date.
- (3) Shares delivered to the issuer for the payment of withholding taxes due upon the vesting of restricted stock units previously granted.

Each share of Class B Common Stock is convertible, at any time at the election of the holder, into one share of Class A Common Stock.

- (4) In addition, each share of Class B Common Stock will convert automatically into one share of Class A Common Stock upon (i) the date specified by the holders of at least 66 2/3% of the outstanding shares of Class B Common Stock, (ii) any transfer, except for certain "qualified transfers" (as defined in the Issuer's Certificate of Incorporation) or (iii) upon the death of a natural person holding shares of Class B Common Stock (subject to certain exceptions as defined in the Issuer's Certificate of Incorporation).
- (5) Granted pursuant to the 2014 Equity Incentive Plan.
- (6) Granted pursuant to 2009 Unit Incentive Plan.
- (7) 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.

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