

Banarjee Mithun
Form 4
February 05, 2019

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 *
Banarjee Mithun

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)

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

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

2900 UNIVERSITY BOULEVARD

02/01/2019

EVP and Chief Customer Officer

(Street)

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

AMES, IA 50010

(City) (State) (Zip)

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	(A) or (D)	Price
Class A Common Stock	02/01/2019		A ⁽¹⁾		26,278 ⁽²⁾	A	\$ 41.86
Class A Common Stock	02/01/2019		F ⁽³⁾		369	D	\$ 41.86

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)	8. Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾	\$ 2.53					03/25/2012 ⁽⁵⁾	11/01/2021	Class A Common Stock	9,900
Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾	\$ 15.86					01/14/2014 ⁽⁶⁾	01/13/2024	Class A Common Stock	1,149
Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾	\$ 15.86					01/14/2015 ⁽⁵⁾	01/13/2024	Class A Common Stock	11,880
Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾	\$ 15.83					11/01/2015 ⁽⁵⁾	11/05/2024	Class A Common Stock	13,860
Employee Stock Option to Purchase Class A	\$ 14.07					04/01/2016 ⁽⁵⁾	03/31/2025	Class A Common Stock	16,000

Common Stock <u>(7)</u>								
Employee Stock Option to Purchase Class A Common Stock <u>(7)</u>	\$ 16.66	01/04/2017 ⁽⁵⁾	01/03/2026	Class A Common Stock	40,000			
Employee Stock Option to Purchase Class A Common Stock <u>(7)</u>	\$ 14.28	07/01/2017 ⁽⁵⁾	07/31/2026	Class A Common Stock	20,000			
Employee Stock Option to Purchase Class A Common Stock <u>(7)</u>	\$ 13.55	01/03/2018 ⁽⁵⁾	01/02/2027	Class A Common Stock	22,000			

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Banarjee Mithun 2900 UNIVERSITY BOULEVARD AMES, IA 50010			EVP and Chief Customer Officer	

Signatures

/s/ Troy M. Calkins as attorney-in-fact for Mithun Banarjee
 **Signature of Reporting Person
 02/05/2019
 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.
- (4) Granted pursuant to the 2009 Unit Incentive Plan.
- (5)

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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.

(6) Fully vested on upon the grant date.

(7) Grant of stock option pursuant to the 2014 Equity Incentive Plan.

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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