Miller J Stuart Form 4 February 27, 2019

## FORM 4

Check this box

if no longer

Section 16.

Form 4 or

obligations

may continue.

See Instruction

Form 5

subject to

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

OMB Number:

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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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Miller J Stuart

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

WORKIVA INC [WK]

(Check all applicable)

(Last)

(First) (Middle) 3. Date of Earliest Transaction

Director

10% Owner \_ Other (specify

(Month/Day/Year)

Filed(Month/Day/Year)

02/25/2019

X\_ Officer (give title

below)

Executive VP & CFO

2900 UNIVERSITY BOULEVARD

(Street)

4. If Amendment, Date Original

Applicable Line)

\_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

Person

AMES, IA 50010

(City)	(State)	(Zip) Tab	ole I - Non-	Derivative	Secu	rities Acquir	ed, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	4. Securit onor Dispos (Instr. 3,	ed of	` '	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 Beneficial Ownership (Instr. 4)
Class A			Code V	Amount	(D)	Price	(msu. 5 and 1)		
Common Stock	02/25/2019		M	30,000	A	\$ 15.86	361,738	D	
Class A Common Stock	02/25/2019		S	30,000	D	\$ 48.3305 <u>(1)</u>	331,738	D	
Class A Common Stock	02/26/2019		M(2)	10,000	A	\$ 15.86	341,738	D	
Class A Common	02/26/2019		S(2)	10,000	D	\$ 49.01	331,738	D	

#### Stock

1. Title of

Common

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

3. Transaction Date 3A. Deemed

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5. Number of 6. Date Exercisable and

SEC 1474

(9-02)

7. Title and Amoun

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	SA. Deemed Execution Date, if any (Month/Day/Year)	TransactionDerivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Expiration Date (Month/Day/Year)		Underlying Securiti (Instr. 3 and 4)		
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amou or Numb of Sh
Employee Stock Option to Purchase Class A Common Stock (3)	\$ 15.86	02/25/2019		M		30,000	04/07/2015(4)	04/06/2024	Class A Common Stock	30,0
Employee Stock Option to Purchase Class A Common Stock (3)	\$ 15.86	02/26/2019		M <u>(2)</u>		10,000	04/07/2015(4)	04/06/2024	Class A Common Stock	10,0
Employee Stock Option to Purchase Class A Common Stock (3)	\$ 15.83						08/12/2015 <u>(4)</u>	08/11/2024	Class A Common Stock	39,6
Employee Stock Option to Purchase Class A	\$ 14.74						02/01/2017(6)	01/31/2026	Class A Common Stock	31,4

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Stock (5)

Employee

Stock

Option to Class A

Purchase \$ 12.4 02/01/2018(6) 01/31/2027 Common 37,4 Class A Stock

Class A
Common
Stock (5)

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Miller J Stuart

2900 UNIVERSITY BOULEVARD Executive VP & CFO

AMES, IA 50010

## **Signatures**

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

02/27/2019

\*\*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).
- The price reported in Column 4 is a weighted-average price. The prices actually received range from \$48.2737 to \$49.00. For all transactions reported in this Form 4 utilizing a weighted-average price, the reporting person undertakes to provide upon request by the
- (1) transactions reported in this Form 4 utilizing a weighted-average price, the reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price within the range.
- (2) Exercise and sale at the direction and for the benefit of the reporting person's former spouse, accordingly the reporting person did not acquire beneficial ownership of the shares.
- (3) Granted pursuant to 2009 Unit Incentive Plan.
- (4) 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.
- (5) Grant of stock option pursuant to the 2014 Equity Incentive Plan.
- (6) Vests in three equal annual installments commencing on the first anniversary of the grant date.

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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