

WORKIVA INC
Form 4
July 06, 2017

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 *
Klindt Jill

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

AMES, IA 50010

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
07/03/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| Class A Common Stock | | | | (A) or (D) Price | 28,650 | 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)

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. 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 Security (Instr. 3 and 4) | Amount or Number of Shares | |
|---|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|--------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | |
| Employee Stock Option to Purchase Class A Common Stock ⁽¹⁾ | \$ 18.6 | 07/03/2017 | | A | 25,000 | 07/03/2018 ⁽²⁾ | 07/02/2027 | Class A Common Stock | 25,000 |
| Employee Stock Option to Purchase Class A Common Stock ⁽¹⁾ | \$ 12.4 | | | | | 02/01/2018 ⁽²⁾ | 02/01/2027 | Class A Common Stock | 10,000 |
| Employee Stock Option to Purchase Class A Common Stock ⁽¹⁾ | \$ 14.03 | | | | | 04/01/2016 ⁽³⁾ | 08/31/2025 | Class A Common Stock | 16,000 |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾ | \$ 15.83 | | | | | 08/12/2015 ⁽²⁾ | 08/11/2024 | Class A Common Stock | 11,800 |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾ | \$ 15.86 | | | | | 01/14/2015 ⁽²⁾ | 01/13/2024 | Class A Common Stock | 5,500 |
| Employee Stock | \$ 15.86 | | | | | 01/14/2014 ⁽²⁾ | 01/13/2024 | Class A Common | 91,000 |

Option to Purchase Class A Common Stock ⁽⁴⁾

Stock

Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾

\$ 8.48

12/28/2013⁽²⁾ 12/27/2022

Class A Common Stock

5,94

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|----------|-------|
| | Director | 10% Owner | Officer | Other |
| Klindt Jill 2900 UNIVERSITY BOULEVARD AMES, IA 50010 | | | VP & CAO | |

Signatures

/s/ Troy M. Calkins as attorney-in-fact for Jill E. Klindt

07/06/2017

__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) Granted pursuant to the 2014 Equity Incentive Plan.
- (2) Vests as to 25% of the shares on the first anniversary of the grant date and then 6.25% of the shares at the end of each three-month period thereafter.
- (3) Vests as to 25% of the shares on April 1, 2016 and as to 6.25% of the shares at the end of each three-month period thereafter.
- (4) Granted pursuant to the 2009 Unit 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. 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.