WORKIVA INC Form 4

February 03, 2017

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

obligations may continue. See Instruction

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 *

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

OMB APPROVAL

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

Miller J Stuart

WORKIVA INC [WK]

(Check all applicable)

(Last)

(First)

2900 UNIVERSITY BOULEVARD

(Middle)

3. Date of Earliest Transaction

(Month/Day/Year)

Director 10% Owner

02/01/2017

X_ Officer (give title Other (specify

below)

Executive VP, Treasurer & CFO

(Street) 4. If Amendment, Date Original

Filed(Month/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

D

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 2A. Deemed (Month/Day/Year) Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

Code V Amount (D)

5. Amount of Securities Beneficially Owned Following Reported

6. Ownership 7. Nature of Form: Direct (D) or Indirect (I) (Instr. 4)

Indirect Beneficial Ownership (Instr. 4)

(A) or

Transaction(s)

(Instr. 3 and 4) Price

Class A Common

Stock

177,857

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)	Code	5. Number of orDerivative 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 Underlying Securitie (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amou Numb Shares
Employee Stock Option to Purchase Class A Common Stock (1)	\$ 12.4	02/01/2017		A	37,407	02/01/2018(2)	02/01/2027	Class A Common Stock	37,4
Employee Stock Option to Purchase Class A Common Stock (1)	\$ 13.55					12/05/2017 <u>(3)</u>	01/03/2027	Class A Common Stock	55
Employee Stock Option to Purchase Class A Common Stock (1)	\$ 14.74					02/01/2017 <u>(2)</u>	02/01/2026	Class A Common Stock	31,4
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	39,6
Employee Stock Option to Purchase Class A Common Stock (4)	\$ 15.86					04/07/2015 <u>(5)</u>	04/06/2024	Class A Common Stock	174,

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Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Miller J Stuart

2900 UNIVERSITY BOULEVARD

Executive VP, Treasurer & CFO

AMES, IA 50010

Signatures

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

02/03/2017

**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 in three equal annual installments commencing on the first anniversary of the grant date.
- (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.
- 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. 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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