

WORKIVA INC  
Form 3  
March 27, 2017

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## INITIAL STATEMENT OF 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 \*

Â Banarjee Mithun

(Last) (First) (Middle)

2900 UNIVERSITY  
BOULEVARD

(Street)

AMES, IA 50010

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

03/15/2017

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

4. Relationship of Reporting  
Person(s) to Issuer

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

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_X\_ Officer \_\_\_\_ Other  
(give title below) (specify below)  
EVP, Global Client Services

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
\_X\_ Form filed by One Reporting  
Person  
\_\_\_\_ Form filed by More than One  
Reporting Person

### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

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

SEC 1473 (7-02)

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information contained in this form are not  
required to respond unless the form displays a  
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### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative  
Security  
(Instr. 4)

2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)

Date Exercisable Expiration  
Date

3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

Title Amount or  
Number of  
Shares

4. Conversion  
or Exercise  
Price of  
Derivative  
Security

5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)  
or Indirect  
(I)

6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

(Instr. 5)

Employee Stock Option to Purchase Class A Common Stock <sup>(1)</sup>	03/25/2012 <sup>(2)</sup>	11/01/2021	Class A Common Stock	9,900	\$ 2.53	D	Â
Employee Stock Option to Purchase Class A Common Stock <sup>(1)</sup>	01/14/2014 <sup>(3)</sup>	01/13/2024	Class A Common Stock	1,149	\$ 15.86	D	Â
Employee Stock Option to Purchase Class A Common Stock <sup>(1)</sup>	01/14/2015 <sup>(2)</sup>	01/13/2024	Class A Common Stock	11,880	\$ 15.86	D	Â
Employee Stock Option to Purchase Class A Common Stock <sup>(1)</sup>	11/01/2015 <sup>(4)</sup>	11/05/2024	Class A Common Stock	13,860	\$ 15.83	D	Â
Employee Stock Option to Purchase Class A Common Stock	04/01/2016 <sup>(4)</sup>	03/31/2025	Class A Common Stock	16,000	\$ 14.07	D	Â
Employee Stock Option to Purchase Class A Common Stock	01/04/2017 <sup>(4)</sup>	01/03/2026	Class A Common Stock	40,000	\$ 16.66	D	Â
Employee Stock Option to Purchase Class A Common Stock	07/01/2017 <sup>(4)</sup>	07/31/2026	Class A Common Stock	20,000	\$ 14.28	D	Â
Employee Stock Option to Purchase Class A Common Stock	01/03/2018 <sup>(4)</sup>	01/02/2027	Class A Common Stock	22,000	\$ 13.55	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Banarjee Mithun 2900 UNIVERSITY BOULEVARD AMES, IA 50010	Â	Â	Â EVP, Global Client Services	Â

## Signatures

/s/ Troy M. Calkins as attorney-in-fact for Mithun Banarjee

03/27/2017

    Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, see Instruction 5(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 2009 Unit Incentive Plan.

(2)

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Vested 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) Fully vested upon the grant date.

(4) 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.

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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