

WORKIVA INC
Form 4
January 06, 2017

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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 *
Miller J Stuart

(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)
01/03/2017

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)
Executive VP, Treasurer & CFO

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) | 125,544 | 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 Securities (Instr. 3 and 4) | | |
|---|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount of Number of Shares |
| Employee Stock Option to Purchase Class A Common Stock | \$ 13.55 | 01/03/2017 | | J ⁽¹⁾ | 550 | 12/05/2017 ⁽²⁾ | 01/03/2027 | Class A Common Stock | 550 |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾ | \$ 14.74 | | | | | 02/01/2017 ⁽⁵⁾ | 02/01/2026 | Class A Common Stock | 31,469 |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁶⁾ | \$ 15.83 | | | | | 08/12/2015 ⁽⁷⁾ | 08/11/2024 | Class A Common Stock | 39,600 |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁶⁾ | \$ 15.86 | | | | | 04/07/2015 ⁽⁷⁾ | 04/06/2024 | Class A Common Stock | 174,240 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Miller J Stuart 2900 UNIVERSITY BOULEVARD AMES, IA 50010 | | | Executive VP, Treasurer & CFO | |

Signatures

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

01/06/2017

__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) Grant of stock option approved by the Chief Executive Officer pursuant to the 2014 Equity Incentive Plan.
 - (2) Vests as to 25% of the shares on December 5, 2017 and then 6.25% of the shares at the end of each three-month period thereafter.
Reporting Person disclaims beneficial ownership in shares owned by child who shares Reporting Person's household. This report shall not
 - (3) be deemed an admission that the Reporting Person is the beneficial owner of such securities for the purpose of Section 16 or for any other purpose.
 - (4) Granted pursuant to the 2014 Equity Incentive Plan.
 - (5) Vests in three equal annual installments commencing on the first anniversary of the grant date.
 - (6) Granted pursuant to 2009 Unit Incentive Plan.
 - (7) 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.
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