Calkins Troy M. Form 4 February 07, 2018

#### FORM 4

Check this box

if no longer

subject to

Section 16.

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

OMB and

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**OMB APPROVAL** 

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Form 4 or
Form 5
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

(Print or Type Responses)

1. Name and Address of Reporting Person \*

1(b).

Calkins Troy M. Issuer Symbol WORKIVA INC [WK] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X\_ Officer (give title Other (specify 2900 UNIVERSITY BOULEVARD 02/05/2018 below) EVP, CLO & Corp Secretary

2. Issuer Name and Ticker or Trading

(Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line)

Applicable Line)
\_X\_ Form filed by One Reporting Person
\_\_ Form filed by More than One Reporting Person

5. Relationship of Reporting Person(s) to

AMES, IA 50010

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Form: Direct Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially (D) or Beneficial (Month/Day/Year) Owned Indirect (I) Ownership (Instr. 8) Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price Class A  $F^{(1)}$ D Common 8,460 D 02/05/2018 277,566 Stock

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)

## Edgar Filing: Calkins Troy M. - Form 4

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. Transactio Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option to Purchase Class A Common Stock (2)	\$ 12.4					02/01/2018(3)	01/31/2027	Class A Common Stock	37,407
Employee Stock Option to Purchase Class A Common Stock (2)	\$ 14.74					02/01/2017(3)	01/31/2026	Class A Common Stock	31,469
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	39,600
Employee Stock Option to Purchase Class A Common Stock (4)	\$ 15.86					03/27/2015(5)	03/26/2024	Class A Common Stock	9,900
Employee Stock Option to Purchase Class A Common Stock (4)	\$ 15.86					02/25/2015(5)	02/24/2024	Class A Common Stock	108,900

#### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Calkins Troy M.

2900 UNIVERSITY BOULEVARD

EVP, CLO & Corp Secretary

AMES, IA 50010

## **Signatures**

/s/ Troy M. 02/07/2018 Calkins

\*\*Signature of Reporting Person

### **Explanation of Responses:**

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

Date

- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Shares delivered to the issuer for payment of withholding taxes due upon the vesting of restricted stock previously granted.
- (2) Grant of stock option pursuant to the 2014 Equity Incentive Plan.
- (3) Vests in three equal annual installments commencing on the first anniversary of the grant date.
- (4) Granted pursuant to 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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