Banarjee Mithun Form 4 February 05, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

OMB

OMB APPROVAL

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SECURITIES Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

obligations may continue. See Instruction 1(b).

Check this box

if no longer

subject to

Section 16.

Form 4 or

Form 5

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 * Banarjee Mithun

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(Last)

WORKIVA INC [WK]

(Check all applicable)

2900 UNIVERSITY BOULEVARD

(First)

(Street)

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

Director _X__ Officer (give title _

10% Owner _ Other (specify

02/01/2018

6. Individual or Joint/Group Filing(Check

below) EVP, Global Client Services

(Middle)

4. If Amendment, Date Original

Applicable Line)

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

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 (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securit or(A) or Dis (Instr. 3, 4	sposed	of (D)	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 Indirect Beneficial Ownership (Instr. 4)		
Class A Common Stock	02/01/2018		A <u>(1)</u>	22,472 (2)	A	\$ 22.25	22,472	D			
Class A Common Stock	02/01/2018		A <u>(1)</u>	89,888 (3)	A	\$ 22.25	112,360	D			

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

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$\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	Pransaction Date 3A. Deemed 4. 5. 6. Date Exercisable and Execution Date, if TransactionNumber Expiration Date any Code of (Month/Day/Year) (Instr. 8) 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 (4)	\$ 2.53					03/25/2012(5)	11/01/2021	Class A Common Stock	9,900
Employee Stock Option to Purchase Class A Common Stock (4)	\$ 15.86					01/14/2014 <u>(6)</u>	01/13/2024	Class A Common Stock	1,149
Employee Stock Option to Purchase Class A Common Stock (4)	\$ 15.86					01/14/2015 <u>(5)</u>	01/13/2024	Class A Common Stock	11,880
Employee Stock Option to Purchase Class A Common Stock (4)	\$ 15.83					11/01/2015 <u>(5)</u>	11/05/2024	Class A Common Stock	13,860
Employee Stock Option to Purchase Class A	\$ 14.07					04/01/2016(5)	03/31/2025	Class A Common Stock	16,000

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Common Stock (7)

Employee Stock

Option to Class A 01/04/2017⁽⁵⁾ 01/03/2026 Common 40,000 Purchase \$ 16.66

Class A Stock

Common Stock (7)

Employee Stock

Option to Class A

Purchase \$ 14.28 07/01/2017⁽⁵⁾ 07/31/2026 Common 20,000

Class A Stock

Common Stock (7)

Employee Stock

Option to Class A

Purchase \$ 13.55 01/03/2018⁽⁵⁾ 01/02/2027 Common 22,000

Class A Stock

Common Stock (7)

Reporting Owners

Relationships Reporting Owner Name / Address

Director 10% Owner Officer Other

Banarjee Mithun

2900 UNIVERSITY BOULEVARD EVP, Global Client Services

AMES, IA 50010

Signatures

/s/ Troy M. Calkins as attorney-in-fact for Mithun 02/05/2018 Banarjee

> **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 restricted stock units 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 in a single installment on the third anniversary of the grant date.
- (4) Granted pursuant to the 2009 Unit Incentive Plan.

(5)

Reporting Owners 3

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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.

- (6) Fully vested on upon the grant date.
- (7) Grant of stock option pursuant to the 2014 Equity 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.