

Banarjee Mithun  
Form 4  
February 05, 2019

# FORM 4

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

OMB APPROVAL

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## 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 \*  
Banarjee Mithun

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)

2900 UNIVERSITY BOULEVARD

02/01/2019

EVP and Chief Customer Officer

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 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. 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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V Amount (A) or (D) Price   |   |  |  |
| Class A Common Stock            | 02/01/2019                           |  | A <sup>(1)</sup>               | 26,278<br>(2) A \$ 41.86  | 138,638   | D  |  |
| Class A Common Stock            | 02/01/2019                           |  | F <sup>(3)</sup>               | 369 D \$ 41.86  | 138,269   | D  |  |

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

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**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 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) | 8. Amount or Number of Shares |                            |
|---|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|----------------------------|
|   |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                         | Amount or Number of Shares |
| Employee Stock Option to Purchase Class A Common Stock <sup>(4)</sup> | \$ 2.53  |                                      |  |                                |   | 03/25/2012 <sup>(5)</sup>                                | 11/01/2021  | Class A Common Stock          | 9,900                      |
| Employee Stock Option to Purchase Class A Common Stock <sup>(4)</sup> | \$ 15.86   |                                      |  |                                |   | 01/14/2014 <sup>(6)</sup>                                | 01/13/2024  | Class A Common Stock          | 1,149                      |
| Employee Stock Option to Purchase Class A Common Stock <sup>(4)</sup> | \$ 15.86   |                                      |  |                                |   | 01/14/2015 <sup>(5)</sup>                                | 01/13/2024  | Class A Common Stock          | 11,880                     |
| Employee Stock Option to Purchase Class A Common Stock <sup>(4)</sup> | \$ 15.83   |                                      |  |                                |   | 11/01/2015 <sup>(5)</sup>                                | 11/05/2024  | Class A Common Stock          | 13,860                     |
| Employee Stock Option to Purchase Class A                             | \$ 14.07   |                                      |  |                                |   | 04/01/2016 <sup>(5)</sup>                                | 03/31/2025  | Class A Common Stock          | 16,000                     |



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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.

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