

Banarjee Mithun
Form 4
February 27, 2019

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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 *
Banarjee Mithun

(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)
02/25/2019

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)
EVP and Chief Customer Officer

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 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 Beneficial Ownership (Instr. 4)
			Code	V	Amount	(D)	Price
Class A Common Stock	02/25/2019		M		9,900	A	\$ 2.53
					148,169		
Class A Common Stock	02/25/2019		M		15,000	A	\$ 14.07
					163,169		
Class A Common Stock	02/25/2019		M		4,100	A	\$ 14.28
					167,269		
Class A Common	02/25/2019		M		11,000	A	\$ 13.55
					178,269		

Edgar Filing: Banarjee Mithun - Form 4

Stock

Class A					\$		
Common	02/25/2019		S	40,000	D	48.3175	138,269 D
Stock						<u>(1)</u>	

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(9-02)

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 Security (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	\$ 2.53	02/25/2019		M	9,900 <u>(2)</u>	03/25/2012 11/01/2021	Class A Common Stock	9,900
Employee Stock Option to Purchase Class A Common Stock	\$ 14.07	02/25/2019		M	15,000 <u>(2)</u>	04/01/2016 03/31/2025	Class A Common Stock	15,000
Employee Stock Option to Purchase Class A Common Stock	\$ 14.28	02/25/2019		M	4,100 <u>(2)</u>	07/01/2017 07/31/2026	Class A Common Stock	4,100
Employee Stock	\$ 13.55	02/25/2019		M	11,000 <u>(2)</u>	01/03/2018 01/02/2027	Class A Common	11,000

Option to Purchase Class A Common Stock					Stock	
Employee Stock Option to Purchase Class A Common Stock	\$ 15.86		01/14/2015 ⁽²⁾	01/13/2024	Class A Common Stock	11,8
Employee Stock Option to Purchase Class A Common Stock	\$ 15.86		01/14/2014 ⁽³⁾	01/13/2024	Class A Common Stock	1,14
Employee Stock Option to Purchase Class A Common Stock	\$ 15.83		11/01/2015 ⁽²⁾	11/05/2024	Class A Common Stock	13,8
Employee Stock Option to Purchase Class A Common Stock	\$ 16.66		01/04/2017 ⁽²⁾	01/03/2026	Class A Common Stock	40,0

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Banarjee Mithun 2900 UNIVERSITY BOULEVARD AMES, IA 50010			EVP and Chief Customer Officer	

Signatures

/s/ Troy M. Calkins as attorney-in-fact for Mithun Banarjee 02/27/2019

__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).

- The price reported in Column 4 is a weighted-average price. The prices actually received range from \$48.2737 to \$48.45. For all transactions reported in this Form 4 utilizing a weighted-average price, the reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price within the range.
- (1) 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.
 - (2) Fully vested on upon the grant date.

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.