

Miller J Stuart
Form 4
February 27, 2019

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Miller J Stuart

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)
2900 UNIVERSITY BOULEVARD

3. Date of Earliest Transaction
(Month/Day/Year)
02/25/2019

____ Director ____ 10% Owner
____X____ Officer (give title ____ Other (specify
below) below)

Executive VP & CFO

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
____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. 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)
Class A Common Stock	02/25/2019		M	30,000 A	\$ 15.86 361,738	D	
Class A Common Stock	02/25/2019		S	30,000 D	\$ 48.3305 331,738	D	
Class A Common Stock	02/26/2019		M ⁽²⁾	10,000 A	\$ 15.86 341,738	D	
Class A Common	02/26/2019		S ⁽²⁾	10,000 D	\$ 49.01 331,738	D	

Stock

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

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(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 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 ⁽³⁾	\$ 15.86	02/25/2019		M	30,000	04/07/2015 ⁽⁴⁾ 04/06/2024	Class A Common Stock 30,0
Employee Stock Option to Purchase Class A Common Stock ⁽³⁾	\$ 15.86	02/26/2019		M ⁽²⁾	10,000	04/07/2015 ⁽⁴⁾ 04/06/2024	Class A Common Stock 10,0
Employee Stock Option to Purchase Class A Common Stock ⁽³⁾	\$ 15.83					08/12/2015 ⁽⁴⁾ 08/11/2024	Class A Common Stock 39,6
Employee Stock Option to Purchase Class A Common	\$ 14.74					02/01/2017 ⁽⁶⁾ 01/31/2026	Class A Common Stock 31,4

Stock ⁽⁵⁾

Employee

Stock

Option to

Purchase \$ 12.4

Class A

Common

Stock ⁽⁵⁾

02/01/2018⁽⁶⁾ 01/31/2027 Class A
Common 37.4
Stock

Reporting Owners

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

Signatures

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

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 \$49.00. 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) 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.
 - (2) Exercise and sale at the direction and for the benefit of the reporting person's former spouse, accordingly the reporting person did not acquire beneficial ownership of the shares.
 - (3) Granted pursuant to 2009 Unit Incentive Plan.
 - (4) 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.
 - (5) Grant of stock option pursuant to the 2014 Equity Incentive Plan.
 - (6) Vests in three equal annual installments commencing on the first anniversary of 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.

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