

Miller J Stuart  
Form 4  
December 18, 2018

**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

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(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)  
12/14/2018

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

Executive VP &amp; 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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|--------------------------------------|---|--|---|---|
| Class A<br>Common<br>Stock            | 12/14/2018                              |   | M <sup>(1)</sup>                     | 10,000 A  | \$ 15.86 300,860   | D   |   |
| Class A<br>Common<br>Stock            | 12/14/2018                              |   | S <sup>(1)</sup>                     | 10,000 D  | \$ 35.3428 290,860   | D   |   |

<sup>(2)</sup>

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)

# Edgar Filing: Miller J Stuart - Form 4

**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 <sup>(3)</sup> | \$ 15.86   | 12/14/2018                           |  | M <sup>(1)</sup>               | 10,000  | 04/07/2015 <sup>(4)</sup> 04/06/2024                     | Class A Common Stock 10,000                                 |
| Employee Stock Option to Purchase Class A Common Stock <sup>(3)</sup> | \$ 15.83   |                                      |  |                                |   | 08/12/2015 <sup>(4)</sup> 08/11/2024                     | Class A Common Stock 39,600                                 |
| Employee Stock Option to Purchase Class A Common Stock <sup>(5)</sup> | \$ 14.74   |                                      |  |                                |   | 02/01/2017 <sup>(6)</sup> 01/31/2026                     | Class A Common Stock 31,400                                 |
| Employee Stock Option to Purchase Class A Common Stock <sup>(5)</sup> | \$ 12.4  |                                      |  |                                |   | 02/01/2018 <sup>(6)</sup> 01/31/2027                     | Class A Common Stock 37,400                                 |

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other  
Executive VP & CFO

Miller J Stuart  
2900 UNIVERSITY BOULEVARD  
AMES, IA 50010

## Signatures

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

12/18/2018

\_\_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) 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.  
  
The price reported in Column 4 is a weighted-average price. The prices actually received ranges from \$35.09.65 to \$35.86. 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.
- (2) Granted pursuant to 2009 Unit Incentive Plan.
- (3) 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.
- (4) Grant of stock option pursuant to the 2014 Equity Incentive Plan.
- (5) 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.

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.