

**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

FORM 8-K

**CURRENT REPORT
Pursuant to Section 13 or 15(d)
of the Securities Exchange Act of 1934**

**August 9, 2021
Date of Report (Date of earliest event reported)**

WORKIVA INC.

(Exact name of registrant as specified in its charter)

Delaware
(State or other jurisdiction of incorporation or
organization)

001-36773
(Commission File Number)

47-2509828
(I.R.S. Employer Identification Number)

**2900 University Blvd
Ames, IA 50010
(888) 275-3125**
(Address of principal executive offices and zip code)
(888) 275-3125
(Registrant's telephone number, including area code)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Securities registered pursuant to Section 12(b) of the Act:

<u>Title of each class</u>	<u>Trading Symbol</u>	<u>Name of each exchange on which registered</u>
Class A common stock, par value \$.001	WK	New York Stock Exchange

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 12b-2 of the Exchange Act.

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

Section 8 - Other Events

Item 8.01. Other Events

On August 9, 2021, Martin J. Vanderploeg, President and Chief Executive Officer of Workiva Inc. (the "Company") and Jeffrey B. Trom, Executive Vice President and Chief Technology Officer of the Company, each sold a portion of their Company stock. Mr. Vanderploeg sold his shares for tax planning purposes in connection with a divorce settlement agreement. Mr. Trom sold his shares as part of his strategy for philanthropy, tax planning, asset diversification and liquidity. Messrs. Vanderploeg and Trom have each informed the Company that they intend to continue in their capacities as the Company's President and Chief Executive Officer, and Executive Vice President and Chief Technology Officer, respectively, for the foreseeable future.

Mr. Vanderploeg exercised 44,550 stock options, and converted 561,029 shares, or approximately 22% of his Class B common stock, into Class A common stock. Following these transactions, Mr. Vanderploeg sold 735,579 shares of Class A common stock, representing approximately 22% of his beneficially owned stock, in a block trade made in accordance with the provisions of Rule 144 of the Securities Act of 1933. This sale comprises approximately 1.4% of the Company's total outstanding capital stock. Following this transaction, Mr. Vanderploeg beneficially owns directly and indirectly approximately 605,543 shares of Class A common stock (including options exercisable within 60 days) and 1,976,636 shares of Class B common stock, or approximately 5.1% of the Company's total outstanding capital stock, and holds approximately 19% of the voting power of the Company's outstanding capital stock.

Mr. Trom converted 525,000 shares, or approximately 28.6% of his Class B common stock, into Class A common stock. Following this transaction, Mr. Trom sold 600,000 shares of Class A common stock, representing approximately 28.3% of his beneficially owned stock, in a block trade made in accordance with the provisions of Rule 144 of the Securities Act of 1933. This sale comprises approximately 1.2% of the Company's total outstanding capital stock. Following this transaction, Mr. Trom beneficially owns directly and indirectly approximately 206,019 shares of Class A common stock (including options exercisable within 60 days) and 1,313,665 shares of Class B common stock, or approximately 3% of the Company's total outstanding capital stock, and holds approximately 12.4% of the voting power of the Company's outstanding capital stock.

SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, as amended, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized on this 11th day of August, 2021.

WORKIVA INC.

By: /s/ Brandon Ziegler
Name: Brandon Ziegler
Title: Executive Vice President, Chief Legal Officer
and Secretary