FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

	OMB APPROVAL	
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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

or Section 30(h) of the Investment Company Act of 1940 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person* (Check all applicable) WORKIVA INC [wk] VANDERPLOEG MARTIN J X Director 10% Owner Officer (give title Other (specify X 3. Date of Earliest Transaction (Month/Day/Year) below) below) (Last) (First) (Middle) President & CEO 2900 UNIVERSITY BOULEVARD 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable (Street) **AMES** ĪΑ 50010 Form filed by One Reporting Person Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 2. Transaction Date 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 6. Ownership Form: Direct 1. Title of Security (Instr. 3) 2A. Deemed 5. Amount of 7. Nature of Transaction Execution Date, Securities Indirect if any (Month/Day/Year) (D) or Indirect (I) (Instr. 4) (Month/Day/Year) Code (Instr. Beneficially **Beneficial** 8) Ownership (Instr. 4) Reported ν Code Price By living **S**(1) 21,508(2) \$42.81 02/11/2019 453,492 T Class A Common Stock D trust By living $S^{(1)}$ Class A Common Stock 02/11/2019 $3,492^{(3)}$ D \$43.3 450,000 T trust Class A Common Stock 314,918 D Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of Derivative 6. Date Exercisable and 3. Transaction 3A. Deemed 5. Number 7. Title and Amount of 8. Price of 9. Number of 10. 11. Nature Conversion Execution Date Expiration Date (Month/Day/Year) Securities Underlying Derivative of Indirect (Month/Day/Year) Derivative **Derivative Security** Security (Instr. 3) or Exercise Price of if any Code (Instr. 8) Security (Instr. 5) Securities Form: Direct (D) Beneficial Beneficially (Month/Day/Year) Securities (Instr. 3 and 4) Ownership Acquired (A) or Disposed Owned Following or Indirect (I) (Instr. 4) (Instr. 4) Security Reported Transaction(s) (Instr. 4) of (D) (Instr. 3, 4 and 5) Amount or Number of Date Exercisable Expiration Date Code (A) (D) Class B Class A By living Commor Stock⁽⁴⁾ (4) (4) (4) 2,515,009 2,515,009 T trust Stock Class B Class A charitable

Explanation of Responses:

(4)

\$12.4

\$14.74

\$15.83

Common

Stock⁽⁴⁾

Employee Option to

Purchase

Class A

Common Stock⁽⁵⁾ Employee Stock Option to

Purchase

Class A

Commo Stock⁽⁵⁾ Employee Stock Option to

Purchase

Class A

Commo Stock⁽⁷⁾

- 1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on August 23, 2018.
- 2. The price reported in Column 4 is a weighted-average price. The prices actually received ranges from \$42.22 to \$43.21. 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

(4)

02/01/2018(6)

02/01/2017(6)

08/12/2015⁽⁸⁾

(4)

01/31/2027

01/31/2026

08/11/2024

Commor

Stock

Class A

Commor

Stock

Class A

Commor

Stock

Class A

Commor

Stock

889,020

200,204

168,421

178,200

889.020

200,204

168,421

178,200

T

D

D

D

remainder

trust

- 3. The price reported in Column 4 is a weighted-average price. The prices actually received ranges from \$43.22 to \$43.43. 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.
- 4. Each share of Class B Common Stock is convertible, at any time at the election of the holder, into one share of Class A Common Stock. In addition, each share of Class B Common Stock will convert automatically into one share of Class A Common Stock upon (i) the date specified by the holders of at least 66 2/3% of the outstanding shares of Class B Common Stock, (ii) any transfer, except for certain "qualified transfers" (as defined in the Issuer's Certificate of Incorporation) or (iii) upon the death of a natural person holding shares of Class B Common Stock (subject to certain exceptions as defined in the Issuer's Certificate of Incorporation).
- 5. Grant of stock option pursuant to the 2014 Equity Incentive Plan

- $6.\ Vests\ in\ three\ equal\ annual\ installments\ commencing\ on\ the\ first\ anniversary\ of\ the\ grant\ date.$
- 7. Granted pursuant to 2009 Unit Incentive Plan.
- 8. 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.

Remarks:

/s/ Troy M. Calkins as attorneyin-fact for Martin J. 02/13/2019 Vanderploeg

** Signature of Reporting Person Date

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

- * 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.