SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934
or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person[*]	2. Issuer Name **and** Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
Ryan Scott G.	WORKIVA INC [WK]	Director 10% Owner
(Last) (First) (Middle)		X Officer (give title below) Other (specify below)
2900 UNIVERSITY BOULEVARD	3. Date of Earliest Transaction (Month/Day/Year) 02/03/2020	EVP and Chief Revenue Officer
(Street)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)
AMES IA 50010		X Form filed by One Reporting Person
(City) (State) (Zip)		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	(A) or (D)	Price			
Class A Common Stock	02/03/2020		A[(1)]		35,095[(2)]	A	$46.16	253,039	D	
Class A Common Stock	02/03/2020		F[(3)]		4,328	D	$46.16	248,711	D	

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 Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Employee Stock Option to Purchase Class A Common Stock	$17.92							08/15/2017[(4)]	08/31/2026	Class A Common Stock	175,000		175,000	D	
Employee Stock Option to Purchase Class A Common Stock	$13.55							01/03/2018[(4)]	01/02/2027	Class A Common Stock	18,750		18,750	D	

Explanation of Responses:

1. Grant of restricted stock units pursuant to the 2014 Equity Incentive Plan.
2. Vests in three equal annual installments commencing on the first anniversary of the grant date.
3. Shares delivered to the issuer for payment of withholding taxes due upon the vesting of restricted stock units previously granted.
4. Vests as to 25% of the shares on the first anniversary of the grant date and then 6.25% of the shares at the end of each three-month period thereafter.

Remarks:

/s/ Troy M. Calkins as attorney-in-fact for Scott G. Ryan   02/05/2020

** Signature of Reporting Person   Date