SEC Form 4

FORM 4

UNITED STATES	SECURI	ΓIES	AND	EXCH	ANGE	COMMIS	SION

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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). STATEMENT OF CHANGES IN BENEFICIAL OWN Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940												RSI	HIP	Estim		er: verage burde sponse:	3235-0287 n 0.5				
transa contra the pur securit to satis conditi	rchase or sale of	pursuant to a written plan for of equity r that is intended ve defense						(,													
1. Name and Address of Reporting Person [*] VANDERPLOEG MARTIN J.							2. Issuer Name and Ticker or Trading Symbol WORKIVA INC [WK]									5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last) 2900 UN	,	irst) BOULEVARD	(Middle)			3. Date of Earliest Transaction (Month/Day/Year) 09/11/2024										Officer (give title Other (specify below) below)					
(Street) AMES	IA		50010		4.	4. If Amendment, Date of Original Filed (Month/Day/Year)									6. Individual or Joint/Group Filing (Check Applicable Line)						
(City)	(S	tate)	(Zip)	p)																	
		Tal	ble I - No	on-Deri	vativ	/e So	ecurit	ies A	Acq	quired,	Dis	sposed	of, or Be	enefic	ially	Owned					
1. Title of Security (Instr. 3) 2. Trans Date (Month/)				ar) i	Executio f any	a. Deemed ecution Date, any onth/Day/Year)		Transaction D Code (Instr.		4. Securities Acquired (A) o Disposed Of (D) (Instr. 3, 4 a			and 5) Securitie Benefici		es ally following	Form: Direct		7. Nature of Indirect Beneficial Ownership (Instr. 4)			
										Code	v	Amount	nt (A) or Pric		,	Transaction(s) (Instr. 3 and 4)				(
Class A Common Stock 09/11/			/2024	2024				Р		3,122 A \$69		\$69	.85(1)	344,991				By living trust			
Class A Common Stock 09/11.			/2024	2024			Р		878 A		\$70	.81(2)	345	5,869			By living trust				
Class A Common Stock					32							,791		D							
			Table II										, or Ben ible sec			Owned					
1. Title of Derivative Security (Instr. 3) 2. Conversion or Exercise Price of Derivative Security 3. Transaction Date (Month/Day/Year) 3A. Deemed Execution Da if any (Month/Day/Year)		Date,	Code (Inst		on of E		Ex	6. Date Exercisabl Expiration Date (Month/Day/Year)			e and 7. Title and Amo of Securities Underlying Derivative Secur (Instr. 3 and 4)			8. Price of Derivative Security (Instr. 5)	9. Number derivative Securities Beneficia Owned Following Reported Transacti (Instr. 4)	e s illy J	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)			
					Code	v	(A)	(D)	Da	ate tercisable		Expiration Date	Title	Amour or Numbe of Sha	ər						
Class B Common Stock ⁽³⁾	(3)									(3)		(3)	Class A Common Stock	710,5	62		710,50	52	I	By living trust	
Class B Common Stock ⁽³⁾	(3)									(3)		(3)	Class A Common Stock	491,2	270		491,27	70	Ι	By charitable remainder trust	
Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾	\$14.74								02	/01/2017 ^{(;}	5) (01/31/2026	Class A Common Stock	84,2	10		84,21	0	D		
Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾	\$12.4								02	/01/2018 ^{(:}	5) (01/31/2027	Class A Common Stock	200,2	204		200,20	04	D		

Explanation of Responses:

1. The price reported in Column 4 is a weighted-average price. The price actually received ranges from \$69.57 to \$70.09. 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. The price reported in Column 4 is a weighted-average price. The price actually received ranges from \$70.66 to \$71.04. 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. 3. Each share of Class B Common Stock is convertible, at any time at the election of the holders, 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 a 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).

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.

Remarks:

/s/ Brandon E. Ziegler as attorney-in-fact for Martin J. Vanderploeg ** Signature of Reporting Person

Date

09/13/2024

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.