SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

eck this box if no longer subject to
ction 16. Form 4 or Form 5
ligations may continue. See
struction 1(b).

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

OMB APPROVAL								
OMB Number: 3235-0287								
Estimated average burden								
hours per response:	0.5							

1. Name and Address of Reporting Person* Howell Joseph H.			2. Issuer Name and Ticker or Trading Symbol <u>WORKIVA INC</u> [WK]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner
(Last) (Eirst) (Middle) I			3. Date of Earliest Transaction (Month/Day/Year) 01/29/2016	X below) below) Executive VP
(Street) AMES	IA	50010	4. If Amendment, Date of 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
(City)	(State)	(Zip)		

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. Transa Code (8)				5. Amount of Securities Beneficially Owned Following Reported	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		Price	Transaction(s) (Instr. 3 and 4)		(1150.4)			
Class A Common Stock	01/29/2016		С	24,000	A	\$ <mark>0</mark>	24,000	Ι	By living trust
Class A Common Stock	02/01/2016		S ⁽¹⁾	24,000	D	\$14.25 ⁽²⁾	0	Ι	By living trust
Class A Common Stock							16,463	D	
Class A Common Stock							44,400	Ι	By daughter

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

	(e.g., puis, cans, 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. Transa Code (8)		Derivative E		Expiration Date (Month/Day/Year)		and 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	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		Transaction(s) (Instr. 4)		
Employee Stock Option to Purchase Class A Common Stock ⁽³⁾	\$14.74	02/01/2016		A		4,545		02/01/2017 ⁽⁴⁾	02/01/2026	Class A Common Stock	4,545	(3)	4,545	D	
Class B Common Stock ⁽⁵⁾	(5)	02/01/2016		с			24,000	(5)	(5)	Class A Common Stock	24,000	\$0	750,234	I	By living trust
Employee Stock Option to Purchase Class A Common Stock ⁽⁶⁾	\$15.83							08/12/2015 ⁽⁷⁾	08/11/2024	Class A Common Stock	178,200		178,200	D	

Explanation of Responses:

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 31, 2015.

2. The price reported in Column 4 is a weighted-average price. The prices actually received range from \$14.07 to \$14.72. 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. Grant of stock option pursuant to the 2014 Equity Incentive Plan.

4. Vests in three equal annual installments commencing on the first anniversary of the grant date.

5. 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).

6. Granted pursuant to 2009 Unit Incentive Plan.

7. 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 attorney-02/02/2016 in-fact for Joseph H. Howell ** 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.