| SEC Form 4 |
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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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

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 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 [*] Klindt Jill | | | | | | 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 Officer (give title Other (specify | | | | | | |
|---|---|--|---|---------|------------------|---|-------|------------|--|-------------------------|--|---|---|--|--|---|--------------------|---|---|--|--|
| (Last) (First) (Middle) 2900 UNIVERSITY BOULEVARD | | | | | | 3. Date of Earliest Transaction (Month/Day/Year) 11/09/2021 | | | | | | | | | X below) below) SVP, CFO, CAO & Treasurer | | | | | | |
| (Street) AMES (City) | | IA 50010 (State) (Zip) | | | | | endme | nt, Date | of Origina | l Filed | (Month/Day | Line) | Individual or Joint/Group Filing (Check Applicable ine) X Form filed by One Reporting Person 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/Yea | | ear) | ar) 2A. Deemed Execution Da if any (Month/Day/Y | | Code (Inst | | 4. Securiti Disposed | ties Acquired (A) I Of (D) (Instr. 3, 4 | | or 4 and 5) | Securitie Beneficia Owned F | 5. Amount of Securities Beneficially Owned Following | | | 7. Nature of Indirect Beneficial Ownership | | | |
| | | | | | | | | Code | v | Amount | (A) (D) | or P | rice | Reported Transaction(s) (Instr. 3 and 4) | | | | (Instr. 4) | | | |
| Class A C | Common St | ock | | 11/09 | 09/2021 | | | | М | | 16,000 | 000 A S | | 614. <mark>0</mark> 3 | 3 76,954 | | 4 D | | | | |
| Class A Common Stock | | | 11/09/2021 | | 1 | | | М | | 10,000 | 00 A | | \$12.4 | 86,954 | | D | | | | | |
| Class A C | Common St | | | | 9/2021 | | | | S | | | | | \$161 ⁽¹⁾ | | | l 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 I if any (Month/Day | Date, T | ransa Code (I | action of Ex | | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | | 7. Title : of Secu Underly Derivati (Instr. 3 | rities 'ing ve Sec | urity | 8. Price of Derivative Security (Instr. 5) | 9. Numbe derivative Securities Beneficia Owned Following Reported Transactie (Instr. 4) | e S Ily I | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4 | Beneficial Ownership t (Instr. 4) | | |
| | | | | c | Code | v | (A) | (D) | Date Exercisal | ble | Expiration Date | Title | or Nu of | nount mber ares | | | | | | | |
| Employee Stock Option to Purchase Class A Common Stock ⁽²⁾ | \$14.03 | 11/09/2021 | | | М | | | 16,000 | 04/01/201 | 16 ⁽³⁾ | 08/31/2025 | Class A Commo Stock | | ,000 | \$0 | 0 | | D | | | |
| Employee Stock Option to Purchase Class A Common Stock ⁽²⁾ | \$12.4 | 11/09/2021 | | | М | | | 10,000 | 02/01/201 | 8(4) | 02/01/2027 | Class A Commo Stock | | ,000 | \$0 | 0 | | D | | | |
| Employee Stock Option to Purchase Class A Common Stock ⁽²⁾ | \$18.6 | | | | | | | | 07/03/201 | 18 ⁽⁴⁾ | 07/02/2027 | Class A Commo Stock | n 25 | ,000 | | 25,00 | 0 | D | | | |

Explanation of Responses:

1. The price reported in Column 4 is a weighted-average price. The price actually received ranges from \$160.50 to \$162.29. 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. Granted pursuant to the 2014 Equity Incentive Plan.

3. Vests as to 25% of the shares on April 1, 2016 and as to 6.25% of the shares at the end of each three-month period thereafter.

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:

<u>/s/ Brandon E. Ziegler as</u> <u>attorney-in-fact for Jill E.</u> <u>Klindt</u>

11/10/2021

** Signature of Reporting Person Date

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

 \ast 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.