

TROM JEFF D
Form 4
January 23, 2019

FORM 4

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

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).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
TROM JEFF D

(Last) (First) (Middle)

2900 UNIVERSITY BOULEVARD

(Street)

AMES, IA 50010

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
WORKIVA INC [WK]

3. Date of Earliest Transaction
(Month/Day/Year)

01/18/2019

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___X___ 10% Owner
___X___ Officer (give title below) ___ Other (specify below)

Executive VP & CTO

6. Individual or Joint/Group Filing(Check Applicable Line)

___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/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 Ownership (Instr. 4)
				(A) or (D)	Price		
Class A Common Stock	01/18/2019		F ⁽¹⁾	781 D	\$ 38.22 316,954	D	
Class A Common Stock	01/19/2019		F ⁽¹⁾	415 D	\$ 38.22 316,539	D	
Class A Common Stock	01/22/2019		S ⁽²⁾	2,100 D	\$ 38.38 ⁽³⁾ 314,439	D	
Class A Common	01/22/2019		S ⁽²⁾	17,900 D	\$ 296,539 37.753	D	

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Stock (4)

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

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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)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title Underlying Instrument (Instr. 7)
					(A)	(D)	Date Exercisable	Expiration Date	
Class B Common Stock <u>(5)</u>	<u>(5)</u>	01/17/2019		G V	1,604,645		<u>(5)</u>	<u>(5)</u>	Class B Common Stock
Class B Common Stock <u>(5)</u>	<u>(5)</u>	01/17/2019		G V	1,604,645		<u>(5)</u>	<u>(5)</u>	Class B Common Stock
Class B Common Stock <u>(5)</u>	<u>(5)</u>						<u>(5)</u>	<u>(5)</u>	Class B Common Stock
Employee Stock Option to Purchase Class A Common Stock <u>(6)</u>	\$ 12.4						02/01/2018 ⁽⁷⁾	01/31/2027	Class A Common Stock
Employee Stock Option to Purchase Class A Common Stock <u>(8)</u>	\$ 15.83						08/12/2015 ⁽⁹⁾	08/11/2024	Class A Common Stock
Employee Stock Option to Purchase Class A Common Stock	\$ 14.74						02/01/2017 ⁽⁷⁾	01/31/2026	Class A Common Stock

Common
Stock (6)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TROM JEFF D 2900 UNIVERSITY BOULEVARD AMES, IA 50010		X	Executive VP & CTO	

Signatures

/s/ Troy M. Calkins as attorney-in-fact for Jeffrey D.
Trom

01/23/2019

__Signature of Reporting Person

Date

Explanation of Responses:

- * 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).
- (1) Shares delivered to the issuer for the payment of withholding taxes due upon the vesting of restricted stock units previously granted.
- (2) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on August 24, 2018.

The price reported in Column 4 is a weighted-average price. The prices actually received ranges from \$38.280 to \$38.480. 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) The price reported in Column 4 is a weighted-average price. The prices actually received ranges from \$37.275 to \$38.260. 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) Granted 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.
- (9)

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.