

VANDERPLOEG MARTIN J

Form 4

March 13, 2019

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
VANDERPLOEG MARTIN J

(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)  
03/11/2019

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify  
below)

President &amp; CEO

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ 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 Indirect Beneficial Ownership (Instr. 4) |                 |
|---------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-------------------------------------------------------------------|-----------------------------|------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------|-----------------|
|                                 |                                      |                                                    | Code                           | V                                                                 | Amount                      | (A) or (D) | Price                                                                                         |                                                          |                                                       |                 |
| Class A Common Stock            | 03/11/2019                           |                                                    | <u>S(1)</u>                    |                                                                   | <u>6,977</u><br><u>(2)</u>  | D          | \$ 48.99                                                                                      | 443,023                                                  | I                                                     | By living trust |
| Class A Common Stock            | 03/11/2019                           |                                                    | <u>S(1)</u>                    |                                                                   | <u>18,023</u><br><u>(3)</u> | D          | \$ 49.79                                                                                      | 425,000                                                  | I                                                     | By living trust |
| Class A Common Stock            |                                      |                                                    |                                |                                                                   |                             |            |                                                                                               | 314,918                                                  | D                                                     |                 |

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

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SEC 1474  
(9-02)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)                                 | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5.<br>Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |
|-------------------------------------------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------|
|                                                                                     |                                                                       |                                         |                                                             | Code                                    | V (A) (D)                                                                                                             | Date Exercisable<br>Expiration<br>Date                         | Title<br>Amount or<br>Number of<br>Shares                           |
| Class B<br>Common<br>Stock <u>(4)</u>                                               | <u>(4)</u>                                                            |                                         |                                                             |                                         |                                                                                                                       | <u>(4)</u> <u>(4)</u>                                          | Class A<br>Common<br>Stock 2,515,000                                |
| Class B<br>Common<br>Stock <u>(4)</u>                                               | <u>(4)</u>                                                            |                                         |                                                             |                                         |                                                                                                                       | <u>(4)</u> <u>(4)</u>                                          | Class A<br>Common<br>Stock 889,020                                  |
| Employee<br>Stock<br>Option to<br>Purchase<br>Class A<br>Common<br>Stock <u>(5)</u> | \$ 12.4                                                               |                                         |                                                             |                                         |                                                                                                                       | 02/01/2018 <sup>(6)</sup> 01/31/2027                           | Class A<br>Common<br>Stock 200,204                                  |
| Employee<br>Stock<br>Option to<br>Purchase<br>Class A<br>Common<br>Stock <u>(5)</u> | \$ 14.74                                                              |                                         |                                                             |                                         |                                                                                                                       | 02/01/2017 <sup>(6)</sup> 01/31/2026                           | Class A<br>Common<br>Stock 168,421                                  |
| Employee<br>Stock<br>Option to<br>Purchase<br>Class A<br>Common<br>Stock <u>(7)</u> | \$ 15.83                                                              |                                         |                                                             |                                         |                                                                                                                       | 08/12/2015 <sup>(8)</sup> 08/11/2024                           | Class A<br>Common<br>Stock 178,200                                  |

## Reporting Owners

| Reporting Owner Name / Address                                      | Relationships |           |                 |       |
|---------------------------------------------------------------------|---------------|-----------|-----------------|-------|
|                                                                     | Director      | 10% Owner | Officer         | Other |
| VANDERPLOEG MARTIN J<br>2900 UNIVERSITY BOULEVARD<br>AMES, IA 50010 | X             | X         | President & CEO |       |

## Signatures

/s/ Troy M. Calkins as attorney-in-fact for Martin J.  
Vanderploeg

03/13/2019

\_\_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) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on August 23, 2018.

The price reported in Column 4 is a weighted-average price. The prices actually received range from \$48.27 to \$49.26. 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 prices actually received ranges from \$49.28 to \$50.19. 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 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).

(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.

(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.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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