

Banarjee Mithun
Form 4
February 05, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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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 *
Banarjee Mithun

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
02/01/2018

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

2900 UNIVERSITY BOULEVARD

EVP, Global Client Services

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

AMES, IA 50010

(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. 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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| | | | | (A) or (D) | Price | | |
| Class A Common Stock | 02/01/2018 | | A ⁽¹⁾ | 22,472 ⁽²⁾ | \$ 22.25 | 22,472 | D |
| Class A Common Stock | 02/01/2018 | | A ⁽¹⁾ | 89,888 ⁽³⁾ | \$ 22.25 | 112,360 | 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)

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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) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Amount or Number of Shares | |
|---|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾ | \$ 2.53 | | | | | 03/25/2012 ⁽⁵⁾ | 11/01/2021 | Class A Common Stock | 9,900 |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾ | \$ 15.86 | | | | | 01/14/2014 ⁽⁶⁾ | 01/13/2024 | Class A Common Stock | 1,149 |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾ | \$ 15.86 | | | | | 01/14/2015 ⁽⁵⁾ | 01/13/2024 | Class A Common Stock | 11,880 |
| Employee Stock Option to Purchase Class A Common Stock ⁽⁴⁾ | \$ 15.83 | | | | | 11/01/2015 ⁽⁵⁾ | 11/05/2024 | Class A Common Stock | 13,860 |
| Employee Stock Option to Purchase Class A | \$ 14.07 | | | | | 04/01/2016 ⁽⁵⁾ | 03/31/2025 | Class A Common Stock | 16,000 |

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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.

(6) Fully vested on upon the grant date.

(7) Grant of stock option pursuant to the 2014 Equity Incentive Plan.

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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