

RIZAI MATTHEW M

Form 4

September 11, 2017

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

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
RIZAI MATTHEW M

(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)
09/07/2017

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)

Chairman & 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	09/07/2017		C ⁽¹⁾		173,354	A	\$ 0 ⁽¹⁾	173,354	I	By charitable remainder trust
Class A Common Stock	09/07/2017		G		173,354	D	\$ 0	0	I	By charitable remainder trust
Class A Common Stock								255,514	D	

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Class A Common Stock	575,000	I	By Trust
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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 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 Underlying Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Class B Common Stock <u>(2)</u>	<u>(2)</u>	09/07/2017		C <u>(1)</u>		173,354		<u>(2)</u>	<u>(2)</u>	Class A Common Stock	17,335,400
Employee Stock Option to Purchase Class A Common Stock <u>(3)</u>	\$ 12.4							02/01/2018 <u>(4)</u>	01/31/2027	Class A Common Stock	20,000,000
Employee Stock Option to Purchase Class A Common Stock <u>(3)</u>	\$ 14.74							02/01/2017 <u>(4)</u>	01/31/2026	Class A Common Stock	16,000,000
Employee Stock Option to Purchase Class A Common Stock <u>(5)</u>	\$ 15.83							08/12/2015 <u>(6)</u>	08/11/2024	Class A Common Stock	17,335,400
	<u>(2)</u>							(2)	(2)		1,200,000

Class B
Common
Stock (2)

Class A
Common
Stock

Class B
Common (2)
Stock (2)

(2)(2)

Class A
Common 33
Stock

Class B
Common (2)
Stock (2)

(2)(2)

Class A
Common 20
Stock

Class B
Common (2)
Stock (2)

(2)(2)

Class A
Common 88
Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
RIZAI MATTHEW M 2900 UNIVERSITY BOULEVARD AMES, IA 50010	X	X	Chairman & CEO	

Signatures

/s/ Troy M. Calkins as attorney-in-fact for Matthew M.
Rizai

09/11/2017

__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 trust converted 173,354 shares of Class B Common Stock on September 7, 2017.

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

(2) 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).

(3) Granted pursuant to the 2014 Equity Incentive Plan.

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

(5) Granted pursuant to 2009 Unit Incentive Plan.

(6) 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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