

Banarjee Mithun  
Form 4  
February 27, 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 \*  
Banarjee Mithun

(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)  
02/25/2019

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)  
EVP and Chief Customer Officer

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	(D)	Price
Class A Common Stock	02/25/2019		M		9,900	A	\$ 2.53
					148,169		
Class A Common Stock	02/25/2019		M		15,000	A	\$ 14.07
					163,169		
Class A Common Stock	02/25/2019		M		4,100	A	\$ 14.28
					167,269		
Class A Common	02/25/2019		M		11,000	A	\$ 13.55
					178,269		

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Stock

Class A					\$		
Common	02/25/2019		S	40,000	D	48.3175	138,269 D
Stock						<u>(1)</u>	

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

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(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 of Underlying Security (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option to Purchase Class A Common Stock	\$ 2.53	02/25/2019		M	9,900 <u>(2)</u>	03/25/2012	11/01/2021	Class A Common Stock	9,900
Employee Stock Option to Purchase Class A Common Stock	\$ 14.07	02/25/2019		M	15,000 <u>(2)</u>	04/01/2016	03/31/2025	Class A Common Stock	15,000
Employee Stock Option to Purchase Class A Common Stock	\$ 14.28	02/25/2019		M	4,100 <u>(2)</u>	07/01/2017	07/31/2026	Class A Common Stock	4,100
Employee Stock	\$ 13.55	02/25/2019		M	11,000 <u>(2)</u>	01/03/2018	01/02/2027	Class A Common	11,000

Option to Purchase Class A Common Stock					Stock	
Employee Stock Option to Purchase Class A Common Stock	\$ 15.86		01/14/2015 <sup>(2)</sup>	01/13/2024	Class A Common Stock	11,8
Employee Stock Option to Purchase Class A Common Stock	\$ 15.86		01/14/2014 <sup>(3)</sup>	01/13/2024	Class A Common Stock	1,14
Employee Stock Option to Purchase Class A Common Stock	\$ 15.83		11/01/2015 <sup>(2)</sup>	11/05/2024	Class A Common Stock	13,8
Employee Stock Option to Purchase Class A Common Stock	\$ 16.66		01/04/2017 <sup>(2)</sup>	01/03/2026	Class A Common Stock	40,0

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Banarjee Mithun 2900 UNIVERSITY BOULEVARD AMES, IA 50010			EVP and Chief Customer Officer	

## Signatures

/s/ Troy M. Calkins as attorney-in-fact for Mithun Banarjee 02/27/2019

\_\_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).

- The price reported in Column 4 is a weighted-average price. The prices actually received range from \$48.2737 to \$48.45. 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.
- (1) 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.
  - (2) Fully vested on upon the grant date.

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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