

VANDERPLOEG MARTIN J
Form 4
November 14, 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

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 *
VANDERPLOEG MARTIN J

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)
2900 UNIVERSITY BOULEVARD

3. Date of Earliest Transaction (Month/Day/Year)
11/12/2018

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

President & CEO

(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 Beneficial Ownership (Instr. 4)			
			Code	V	Amount	(A) or (D)	Price			
Class A Common Stock	11/12/2018		S ⁽¹⁾		20,100	D	\$ 35.53 (2)	529,900	I	By living trust
Class A Common Stock	11/12/2018		S ⁽¹⁾		2,500	D	\$ 36.6 (3)	527,400	I	By living trust
Class A Common Stock	11/12/2018		S ⁽¹⁾		2,200	D	\$ 37.33 (4)	525,200	I	By living trust
Class A Common	11/12/2018		S ⁽¹⁾		200	D	\$ 38.52	525,000	I	By living trust

Stock

Class A

Common

Stock

260,077

D

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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 of Underlying Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Class B Common Stock ⁽⁵⁾	⁽⁵⁾					⁽⁵⁾	⁽⁵⁾	Class A Common Stock	2,515,000
Class B Common Stock ⁽⁵⁾	⁽⁵⁾					⁽⁵⁾	⁽⁵⁾	Class A Common Stock	889,020
Employee Stock Option to Purchase Class A Common Stock ⁽⁶⁾	\$ 12.4					02/01/2018 ⁽⁷⁾	01/31/2027	Class A Common Stock	200,204
Employee Stock Option to Purchase Class A Common Stock ⁽⁶⁾	\$ 14.74					02/01/2017 ⁽⁷⁾	01/31/2026	Class A Common Stock	168,421

Edgar Filing: VANDERPLOEG MARTIN J - Form 4

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.