

WORKIVA INC  
Form 5  
January 21, 2016

**FORM 5**

**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).  
Form 3 Holdings  
Reported  
Form 4  
Transactions  
Reported

**ANNUAL 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: 3235-0362  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 1.0

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

(Last) (First) (Middle)

**2900 UNIVERSITY BOULEVARD**

(Street)

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

3. Statement for Issuer's Fiscal Year Ended  
(Month/Day/Year)  
**12/31/2015**

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 Reporting

(check applicable line)

**AMES, IA 50010**

☒ Form Filed by One Reporting Person  
☐ Form Filed by More than One Reporting  
Person

(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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				Amount	(A) or (D)	Price			
Class A Common Stock	Â	Â	Â	Â	Â	Â	160,000 <u>(1)</u>	D	Â
Class A Common Stock	11/11/2015	Â	C4 <u>(2)</u>	150,000	A	\$ <u>(2)</u>	150,000	I	By Trust

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 2270  
(9-02)

Edgar Filing: WORKIVA INC - Form 5

**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 of Underlying Security (Instr. 3)
					(A)	(D)	Date Exercisable	Expiration Date	Title
Class B Common Stock <sup>(3)</sup>	Â	04/17/2015	Â	G <sup>(4)</sup>	Â	2,077,058	Â <sup>(3)</sup>	Â <sup>(3)</sup>	Class B Common Stock
Class B Common Stock <sup>(3)</sup>	Â	04/17/2015	Â	G <sup>(4)</sup>	40,000	Â	Â <sup>(3)</sup>	Â <sup>(3)</sup>	Class B Common Stock
Class B Common Stock <sup>(3)</sup>	Â	04/17/2015	Â	G <sup>(4)</sup>	2,017,058	Â	Â <sup>(3)</sup>	Â <sup>(3)</sup>	Class B Common Stock
Class B Common Stock <sup>(3)</sup>	Â	11/11/2015	Â	C4	Â	150,000	Â <sup>(2)</sup>	Â <sup>(2)</sup>	Class B Common Stock
Employee Stock Option to Purchase Class A Common Stock <sup>(6)</sup>	\$ 15.83	Â	Â	Â	Â	Â	08/12/2015 <sup>(7)</sup>	08/11/2024	Class A Common Stock
Class B Common Stock <sup>(3)</sup>	Â	Â	Â	Â	Â	Â	Â <sup>(3)</sup>	Â <sup>(3)</sup>	Class B Common Stock
Class B Common Stock <sup>(3)</sup>	Â	Â	Â	Â	Â	Â	Â <sup>(3)</sup>	Â <sup>(3)</sup>	Class B Common Stock

## Reporting Owners

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

## Signatures

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

01/21/2016

\_\_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) Vests in three equal annual installments commencing on the first anniversary of the grant date.
- (2) The Class B Common Stock was converted into Class A Common Stock on a 1-for-1 basis and had no expiration date.  
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  
(3) 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) Gift of Class B Common Stock to personal and family trusts.
- (5) The reporting person no longer has a reportable beneficial interest in 30,815 shares of Class B Common Stock beneficially owned by his daughter and included in the reporting person's prior ownership reports.
- (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 provided is insufficient, *see* Instruction 6 for procedure. 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.