CONTROL4 CORP

Form 4

February 14, 2017

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

OMB APPROVAL

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if no longer

Section 16.

subject to

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

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person * Anderson Eric

(First)

(Middle)

2. Issuer Name and Ticker or Trading

Symbol

CONTROL4 CORP [CTRL]

02/10/2017

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

C/O CONTROL4 CORPORATION, 11734 S. **ELECTION ROAD**

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

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

SVP of Products

(Street)

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

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

SALT LAKE CITY, UT 84020

(City)	(State)	(Zip) Tabl	le I - Non-I	Derivative	Secur	ities Acqu	iired, Disposed of	f, or Beneficial	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Securit or(A) or Di (Instr. 3,	sposed	of (D)	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)
Common Stock	02/10/2017		M	5,666	A	<u>(1)</u>	5,666	D	
Common Stock	02/10/2017		F	2,134 (2)	D	\$ 13.93	3,532	D	
Common Stock	02/10/2017		M	13,900	A	<u>(1)</u>	17,432	D	
Common Stock	02/10/2017		F	4,502 (2)	D	\$ 13.93	12,930	D	
Common Stock	02/10/2017		M	5,666	A	<u>(1)</u>	18,596	D	

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Common Stock 02/10/2017 $F = \frac{1,833}{\frac{(3)}{2}} D = \frac{\$}{13.93} 16,763 D$

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

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SEC 1474

(9-02)

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 or 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 Amo Underlying Secu (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	An or Nu of
Performance-based Restricted Stock Units	(1)	02/10/2017		M	5,666	<u>(4)</u>	<u>(4)</u>	Common Stock	5
Performance-based Restricted Stock Units	(1)	02/10/2017		M	13,900	<u>(5)</u>	(5)	Common Stock	13
Restricted Stock	<u>(1)</u>	02/10/2017		M	5,666	<u>(6)</u>	<u>(6)</u>	Common Stock	5

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			

Anderson Eric
C/O CONTROL4 Co

C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020

SVP of Products

Signatures

/s/ Greg Bishop, Attorney in fact for Eric
Anderson

02/14/2017

**Signature of Reporting Person Date

Reporting Owners 2

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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) Each unit represents the right to receive, at settlement, one share of common stock at no cost.
- The minimum federal and state tax withholding due at the vesting of Performance-based Restricted Stock Units was satisfied by Control4 (2) through a net issuance of these shares, which were retained by Control4 as treasury stock, and the requisite withholding amount was paid
- to the relevant tax authorities by Conrol4 on behalf of the Reporting Person.
- The minimum federal and state tax withholding due at the vesting of Restricted Stock Units was satisfied by Control4 through a net

 (3) issuance of these shares, which were retained by Control4 as treasury stock, and the requisite withholding amount was paid to the relevant tax authorities by Conrol4 on behalf of the Reporting Person.
- This PSU award was granted on January 1, 2016, and these shares represent the 1/3 of the shares in the award which vested on February 10, 2017 due to the achievement of a certain 2016 financial performance goal. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly thereafter in each of the following eight quarters.
- (5) This PSU award was granted on January 1, 2016, and these shares represent all of shares in the award which vested on February 10, 2017 due to the achievement of a certain 2016 financial performance goal.
- This RSU award was granted on January 1, 2016, and these shares represent the 1/3 of the shares in the award which vested on February (6) 10, 2017. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly thereafter in each of the following eight quarters.

Note: File three copies of this Form, one of which must be manually signed. If space 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.