CONTROL4 CORP

Form 4

February 15, 2017

FORM 4

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

OMB Number: 3235-0287

burden hours per

OMB APPROVAL

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Expires: January 31, 2005
Estimated average

0.5

Form 4 or Form 5 obligations may continue. See Instruction

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

response...

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading **Dungan Jefferson** Issuer Symbol CONTROL4 CORP [CTRL] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner _X__ Officer (give title) _ Other (specify C/O CONTROL4 02/14/2017 below) CORPORATION, 11734 S. SVP Bus. Development **ELECTION ROAD**

(Street) 4. If Amendment, Date Original

4. If Amendment, Date Original
6. Individual or Joint/Group Filing(Check
Filed(Month/Day/Year)
Applicable Line)
X Form filed by One Reporting Person
___ Form filed by More than One Reporting

SALT LAKE CITY, UT 84020

(City)	(State)	^(Zip) Tabl	e I - Non-D	Perivative S	Securi	ties Acqu	ired, Disposed of	, or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Code (Instr. 8)	4. Securit on(A) or Dis (Instr. 3, 4	sposed 4 and 5 (A) or	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	02/14/2017(1)		Code V S	Amount 16,764	(D)	Price \$ 14.71 (2)	28,044	D	
Common Stock	02/14/2017(1)		M	4,807	A	\$ 3.59	32,851	D	
Common Stock	02/14/2017(1)		S	4,807	D	\$ 14.87 (3)	28,044	D	
Common Stock	02/14/2017(1)		M	4,807	A	\$ 4.89	32,851	D	

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Common Stock	02/14/2017(1)	S	4,807	D	\$ 14.87 (3)	28,044	D	
Common Stock	02/14/2017(1)	M	9,615	A	\$ 4.89	37,659	D	
Common Stock	02/14/2017(1)	S	9,615	D	\$ 14.87 (3)	28,044	D	
Common Stock	02/14/2017(1)	M	5,741	A	\$ 7.49	33,785	D	
Common Stock	02/14/2017(1)	S	5,741	D	\$ 14.87 (3)	28,044	D	
Common Stock						25	I	By 401(k) Plan (8)

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

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SEC 1474 (9-02)

> 8. I De Sec (In

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. Transactio Code (Instr. 8)	5. Number coof 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
Stock Option (right to buy)	\$ 3.59	02/14/2017		M	4,807	<u>(4)</u>	12/10/2017	Common Stock	4,807
Stock Option (right to buy)	\$ 4.89	02/14/2017		M	4,807	<u>(5)</u>	12/18/2018	Common Stock	4,807
• '	\$ 4.89	02/14/2017		M	9,615	<u>(6)</u>	01/14/2020		9,615

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Stock Option (right to buy)							Common Stock	
Stock Option (right to buy)	\$ 7.49	02/14/2017	М	5,741	<u>(7)</u>	07/08/2020	Common Stock	5,741

Reporting Owners

SALT LAKE CITY, UT 84020

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Dungan Jefferson

C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD

SVP Bus. Development

Signatures

/s/ Greg Bishop, Attorney in fact for Jefferson Dungan

02/15/2017

**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) Pursuant to a Rule 10b5-1 trading plan established by the Reporting Person.
- This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$13.96 per share (2) to \$14.78 per share. Full information regarding the number of shares sold at each price will be provided upon request from the SEC, the Issuer or a security holder.
- This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$14.00 per share
- (3) to \$15.38 per share. Full information regarding the number of shares sold at each price will be provided upon request from the SEC, the Issuer or a security holder.
- (4) Options granted December 11, 2007 are fully vested and exercisable.
- (5) Options granted December 19, 2009 are fully vested and exercisable.
- (6) Options granted January 15, 2015 are fully vested and exercisable.
- (7) Options granted July 9, 2010 are fully vested and exercisable.
- (8) On August 9, 2013 the reporting person acquired 25 shares of Common Stock in his 401(k) Plan. Note that this item was inadvertently left off of the Form 4 filed by the reporting person on February 14, 2017.

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.

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