CONTROL4 CORP

Form 4 May 11, 2017

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

OMB APPROVAL

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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 may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person
Anderson Eric

(First)

(Street)

2. Issuer Name and Ticker or Trading Symbol

(Month/Day/Year)

05/09/2017

Issuer

5. Relationship of Reporting Person(s) to

(Check all applicable)

(Last)

(Middle)

CONTROL4 CORP [CTRL] 3. Date of Earliest Transaction

Director X_ Officer (give title

10% Owner Other (specify

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

below) SVP of Products

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

Person

SALT LAKE CITY, UT 84020

(City)	(State)	(Zip) Tabl	e I - Non-E	Derivative :	Securi	ties Acqu	ired, Disposed of	, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	4. Securities Acquired on(A) or Disposed of (D) (Instr. 3, 4 and 5) (A) or			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
G			Code V	Amount	(D)	Price	(Instr. 3 and 4)		
Common Stock	05/09/2017(1)		M	34,834	A		51,597	D	
Common Stock	05/09/2017(1)		S	34,834	D	\$ 17.71 (2)	16,763	D	
Common Stock	05/09/2017(1)		M	17,430	A	\$ 8.84	34,193	D	
Common Stock	05/09/2017(1)		S	17,430	D	\$ 17.71 (3)	16,763	D	

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Common Stock	05/10/2017 <u>(1)</u>	M	30,749	A	\$ 8.84	47,512	D	
Common Stock	05/10/2017 <u>(1)</u>	S	30,749	D	\$ 17.85 (4)	16,763	D	
Common Stock	05/10/2017 <u>(1)</u>	M	27,818	A	\$ 8.84	44,581	D	
Common Stock	05/10/2017 <u>(1)</u>	S	27,818	D	\$ 17.83 (5)	16,763	D	
Common Stock	05/11/2017 <u>(1)</u>	M	36,791	A	\$ 8.84	53,554	D	
Common Stock	05/11/2017 <u>(1)</u>	S	36,791	D	\$ 17.78 (9)	16,763	D	
Common Stock						28	I	By 401(k) Plan <u>(6)</u>

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 orDerivative Securities Acquired (A) or Disposed o (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)	\$ 8.84	05/09/2017		M	34,834	<u>(7)</u>	06/30/2022	Common Stock	34,834
Stock Option (right to buy)	\$ 8.84	05/09/2017		M	17,430	(8)	06/30/2022	Common Stock	17,430

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Stock Option (right to buy)	\$ 8.84	05/10/2017	M	30,749	<u>(7)</u>	06/30/2022	Common Stock	30,749
Stock Option (right to buy)	\$ 8.84	05/10/2017	M	27,818	(8)	06/30/2022	Common Stock	27,818
Stock Option (Right to Buy)	\$ 8.84	05/11/2017	M	36,791	<u>(7)</u>	06/30/2022	Common Stock	36,791

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

Anderson Eric 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

05/11/2017

**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 \$17.29 per share (2) to \$17.97 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 \$17.29 per share (3) to \$17.96 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 \$17.37 per share (4) to \$18.11 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 \$17.38. per (5) share to \$18.10 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.
- (6) Based on the Reporting Person's most recent 401(k) Plan statement.
- (7) Non-qualified Stock Options granted June 30, 2012 are fully vested and exercisable.
- (8) Incentive Stock Options granted June 30, 2012 are fully vested and exercisable.

Reporting Owners 3

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This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$17.59 per share (9) to \$17.95 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

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.