Judd Bryce Form 4 August 16, 2017

## FORM 4

Form 5

obligations

may continue.

See Instruction

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

Check this box if no longer subject to

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** Section 16. Form 4 or

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).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Judd Bryce

2. Issuer Name and Ticker or Trading Symbol

CONTROL4 CORP [CTRL]

(Last) (First) (Middle)

3. Date of Earliest Transaction

(Month/Day/Year) 08/15/2017

11734 SOUTH ELECTION ROAD

(Street)

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

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

OMB

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

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

SVP of Sales

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

### SALT LAKE CITY, UT 84020

(City)	(State)	Zip) Table	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)	ransaction(A) or Disposed of (D) ode (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		
Common Stock	08/15/2017		M	1,039	A	<u>(1)</u>	1,039	D	
Common Stock	08/15/2017		F	337 (2)	D	\$ 23.68	702	D	
Common Stock	08/15/2017		M	4,092	A	<u>(1)</u>	4,794	D	
Common Stock	08/15/2017		F	1,324 (3)	D	\$ 23.68	3,470	D	
Common Stock							328	I	By 401(k) Plan (6)

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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. Transactic Code (Instr. 8)	Transaction Derivative Code Securities		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amou Underlying Securi (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amo or Num of Shar	
Performance-based Restricted Stock Units	(1)	08/15/2017		M	1,039	<u>(4)</u>	<u>(4)</u>	Common Stock	1,0	
Restricted Stock Units	<u>(1)</u>	08/15/2017		M	4,092	(5)	<u>(5)</u>	Common Stock	4,0	

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
<b></b>	Director	10% Owner	Officer	Other		
Judd Bryce 11734 SOUTH ELECTION ROAD SALT LAKE CITY, UT 84020			SVP of Sales			

## **Signatures**

/s/ Greg Bishop, attorney-in-fact for
Bryce Judd
08/16/2017

\*\*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) Each unit represents the right to receive, at settlement, one share of common stock at no cost.
- (2) The federal and state tax withholding due at the vesting of Performance-based Restricted Stock Units was satisfied by Control4 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. We used the closing price of the shares on the day prior to the vest

Reporting Owners 2

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date for withholding calculations.

- The federal and state tax withholding due at the vesting of Restricted Stock Units was satisfied by Control4 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. We used the closing price of the shares on the day prior to the vest date for withholding calculations.
- This PSU award was granted on June 30, 2016. One-third of the shares in the award vested on February 10, 2017 due to the achievement (4) of a certain 2016 financial performance goal. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of May, August, November and February in each of the following eight quarters.
- This RSU award was granted on June 30, 2016. One-third of the shares in the award vested on August 15, 2017. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of November, February, May, and August, in each of the following eight quarters.
- (6) Based on Reporting Person's 401(k) Plan Statement.

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.