Dungan Jefferson Form 4 November 16, 2017

FORM 4

Check this box

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

Washington, D.C. 20549

CHANGES IN BENEFICIAL OWNERSHIP OF

if no longer subject to Section 16. Form 4 or 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

See Instruction 1(b).

Form 5

obligations

may continue.

(Print or Type Responses)

1. Name and Address of Reporting Person <u>Dungan Jefferson</u>

(Last) (First) (Middle)

(Street)

C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD 2. Issuer Name **and** Ticker or Trading Symbol

CONTROL4 CORP [CTRL]

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

11/15/2017

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

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

OMB APPROVAL

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

_____ Director _____ 10% Owner _____ Other (specify below)

SVP Bus. Development

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 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 on(A) or Disposed of (D) (Instr. 3, 4 and 5)		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)		
			Code V	Amount	or (D)	Price	(Instr. 3 and 4)			
Common Stock	11/15/2017		M	1,416	A	<u>(1)</u>	1,416	D		
Common Stock	11/15/2017		F	459 (2)	D	\$ 33.12	957	D		
Common Stock	11/15/2017		M	1,416	A	<u>(1)</u>	2,373	D		
Common Stock	11/15/2017		F	459 (3)	D	\$ 33.12	1,914	D		
Common Stock	11/16/2017(4)		S	1,914	D	\$ 32.99	0	D		

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 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 proof 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 Sha
Perforomance-based Restricted Stock Units	(1)	11/15/2017		M	1,416	<u>(6)</u>	<u>(6)</u>	Common Stock	1.
Restricted Stock Units	<u>(1)</u>	11/15/2017		M	1,416	<u>(7)</u>	<u>(7)</u>	Common Stock	1.

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

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

SVP Bus. Development

Signatures

/s/ Greg Bishop, Attorney in fact for Jefferson
Dungan
11/16/2017

**Signature of Reporting Person Date

Reporting Owners 2

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 PSU 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 Control4 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.
- The minimum federal and state tax withholding due at the vesting of RSU 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.
- (4) Automatic sale pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on November 30, 2016.
- (5) Aggregate shares held by the Reporting Person's 401(k) Plan and his wife's 401(k) Plan.
- This PSU award was granted on January 1, 2016, and upon the certification that certain 2016 financial performance goals were achieved, these shares will vest as follows: 1/3 of the shares vested on February 10, 2017, and an additional 1/12 of the shares shall vest quarterly thereafter on the 15th of the first month in each of the following eight quarters, subject to the reporting person's continuous service to the Issuer on each such date.
- This RSU award was granted on January 1, 2016, and will vest as follows: 1/3 of the shares vested on February 10, 2017, and an (7) additional 1/12 of the shares shall vest quarterly thereafter on the 15th of the first month in each of the following eight quarters, subject to the reporting person's continuous service to the Issuer on each such date.

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.