Anderson Eric Form 4 January 02, 2018

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

3235-0287 Number: January 31,

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Check this box if no longer subject to Section 16. 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

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person \* Anderson Eric

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

(Check all applicable)

SVP of Products

7 Nature of

Issuer

below)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

5 Amount of

(Last)

(City)

1 Title of

Stock

(First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year)

12/28/2017

CONTROL4 CORP [CTRL]

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

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

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

2. Transaction Date 2A. Deemed

(Zip)

SALT LAKE CITY, UT 84020

(Street)

(State)

2. Transaction Date	ZA. Decineu	<i>J</i> .	T. SCCulli	ics Ac	quircu	J. Alliount of	0.	7. Ivaluic of
(Month/Day/Year)	Execution Date, if	Transaction(A) or Disposed of (D)			Securities	Ownership	Indirect	
	any	Code (Instr. 3, 4 and 5)			Beneficially	Form:	Beneficial	
	(Month/Day/Year)	(Instr. 8)				Owned	Direct (D)	Ownership
						Following	or Indirect	(Instr. 4)
				(4)		Reported	(I)	
						Transaction(s)	(Instr. 4)	
		Codo V	Amount		Derica	(Instr. 3 and 4)		
		Code v	Amount	(D)				
12/28/2017(1)		M	14 384	Α		17 388	D	
12/20/2017_		111	1 1,50 1	• •	20.91	17,500		
					ф			
445								
12/28/2017 <u>(1)</u>		S	14,384	D	30.54	3,004	D	
		any (Month/Day/Year)  12/28/2017(1)	(Month/Day/Year) Execution Date, if any Code (Month/Day/Year)  Code (Instr. 8)  Code V  12/28/2017(1)  M	(Month/Day/Year) Execution Date, if any (Month/Day/Year) Code (Instr. 3, 4)  Code V Amount  12/28/2017(1) M 14,384	(Month/Day/Year) Execution Date, if any (Month/Day/Year) Code (Instr. 3, 4 and 5)  (Month/Day/Year) (Instr. 8)  (A) or Code V Amount (D)  12/28/2017(1) M 14,384 A	(Month/Day/Year)         Execution Date, if any (Month/Day/Year)         Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5)           (Month/Day/Year)         (Instr. 8)             (A) or Disposed of (D) Code (Instr. 3, 4 and 5)           (A) or Disposed of (D) Code (Instr. 3, 4 and 5)           (A) or Price (A) Or Disposed of (D) Code (Instr. 3, 4 and 5)           (A) Or Price (A) Or Disposed of (D) Code (Instr. 3, 4 and 5)           (A) Or Price (A) Or Disposed of (D) Code (Instr. 3, 4 and 5)           (A) Or Price (A) Or Disposed of (D) Code (Instr. 3, 4 and 5)           (A) Or Price (A) Or Disposed of (D) Code (Instr. 3, 4 and 5)           (A) Or Price (A) Or Price (A) Or Disposed of (D) Code (Instr. 3, 4 and 5)	(Month/Day/Year) Execution Date, if any (Month/Day/Year) (Instr. 8) Execution Date, if any (Month/Day/Year) (Instr. 8) Execution Date, if any (Month/Day/Year) (Instr. 8) Code (Instr. 3, 4 and 5) Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)  12/28/2017(1) M 14,384 A \$ 17,388	(Month/Day/Year) Execution Date, if any (Month/Day/Year) (Instr. 8) Code (Instr. 3, 4 and 5) Beneficially Form: Owned Direct (D) Following or Indirect Reported (I) Transaction(s) (Instr. 4) (Instr. 3) and 4)  12/28/2017(1) M 14,384 A \$ 17,388 D

4 Securities Acquired

(2)

By Common 401(k)Plan 314 I Stock (3)

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

#### Edgar Filing: Anderson Eric - Form 4

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SEC 1474 (9-02)

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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)	5. Number of orDerivative 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)	\$ 20.91	12/28/2017		M	14,384	<u>(4)</u>	02/27/2024	Common Stock	14,384

## **Reporting Owners**

Reporting Owner Name / Address Relationships

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

12/29/2017

\*\*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) Automatic sale pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on August 18, 2017.
- This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$30.19 per share (2) to \$31.01 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.
- (3) Based on the Reporting Person's most recent 401(k) Plan statement.
- (4) Non-qualified Stock Options granted February 28, 2014, 20,000 shares were included in the original grant with vesting over four years. Note that this grant was split into this NSO of 14,384 shares and a related ISO of 5,616 shares.

Reporting Owners 2

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