#### PLAEHN MARTIN

Form 4

February 15, 2018

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL OMB** 

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations 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

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person \* PLAEHN MARTIN

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(Last)

(City)

(First)

CONTROL4 CORP [CTRL]

(Check all applicable)

(Middle)

(Street)

(State)

3. Date of Earliest Transaction (Month/Day/Year) 02/13/2018

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

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

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Chairman, CEO and President

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)	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned								
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)				Securities C Beneficially F Owned (I Following In	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
			Code V	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)	(Instr. 4)		
Common Stock	02/13/2018(1)		M	41,585	A	\$ 11.28	93,705	D		
Common Stock	02/13/2018(1)		S	41,585	A	\$ 24.51 (2)	52,120	D		
Common Stock							498	I	By 401 (k) Plan (3)	

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (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)	\$ 11.28	02/13/2018		M	41,585	<u>(4)</u>	06/10/2023	Common Stock	41,585

# **Reporting Owners**

Reporting Owner Name / Address	Kelationships						
<u>.</u>	Director	10% Owner	Officer	Other			
PLAEHN MARTIN C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020	X		Chairman, CEO and President				

## **Signatures**

/s/ Greg Bishop, Attorney in fact for Martin
Plaehn
02/14/2018

\*\*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 May 16, 2017.
- This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$24.21 per share (2) to \$25.02 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 June 11, 2013 that are fully vested and exercisable.

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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