#### PLAEHN MARTIN

Form 4

February 16, 2018

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

**OMB APPROVAL** 

3235-0287

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subject to Section 16. Form 4 or Form 5 obligations

if no longer

Check this box

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)

may continue.

See Instruction

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

(Middle)

CONTROL4 CORP [CTRL]

(Check all applicable)

(Last)

(First)

3. Date of Earliest Transaction

\_X\_ Director

10% Owner \_ Other (specify

C/O CONTROL4 CORPORATION, 11734 S.

**ELECTION ROAD** 

02/15/2018

(Month/Day/Year)

\_X\_\_ Officer (give title

below)

Chairman, CEO and President

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

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) Tabl	e I - Non-I	Derivative S	Securi	ities Acqu	iired, Disposed of	f, 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. Transaction Code (Instr. 8)	4. Securit on(A) or Dis (Instr. 3, 4)	sposed	of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	02/15/2018		M	5,000	A	<u>(1)</u>	57,120	D	
Common Stock	02/15/2018		F	1,468 (2)	D	\$ 24.76	55,652	D	
Common Stock	02/15/2018		M	15,000	A	<u>(1)</u>	70,652	D	
Common Stock	02/15/2018		F	6,653 (2)	D	\$ 24.76	63,999	D	
Common Stock	02/15/2018		M	9,500	A	<u>(1)</u>	73,499	D	

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Common Stock	02/15/2018	F	4,214 (2)	D	\$ 24.76	69,285	D	
Common Stock	02/15/2018	M	5,000	A	<u>(1)</u>	74,285	D	
Common Stock	02/15/2018	F	1,468 (3)	D	\$ 24.76	72,817	D	
Common Stock	02/15/2018	M	15,000	A	(1)	87,817	D	
Common Stock	02/15/2018	F	5,427 (3)	D	\$ 24.76	82,390	D	
Common Stock	02/15/2018	M	19,600	A	(1)	101,990	D	
Common Stock	02/15/2018	F	8,693 (3)	D	\$ 24.76	93,297	D	
Common Stock						498	I	By 401(k) Plan (10)

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. Transactio 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 Amo Underlying Secu (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	An or Nu of
Restricted Stock Units	(1)	02/15/2018		M	5,000	<u>(4)</u>	<u>(4)</u>	Common Stock	5
Restricted Stock Units	(1)	02/15/2018		M	15,000	<u>(5)</u>	<u>(5)</u>	Common Stock	15
Restricted Stock Units	(1)	02/15/2018		M	9,500	<u>(6)</u>	<u>(6)</u>	Common Stock	9
Performance-based Restricted Stock	(1)	02/15/2018		M	5,000	<u>(7)</u>	<u>(7)</u>	Common Stock	5

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Performance-based Restricted Stock Units	<u>(1)</u>	02/15/2018	М	15,000	(8)	<u>(8)</u>	Common Stock	1:
Performance-based Restricted Stock Units	(1)	02/15/2018	М	19,600	(9)	<u>(9)</u>	Common Stock	19

## **Reporting Owners**

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

# **Signatures**

/s/ Greg Bishop, Attorney in fact for Martin
Plaehn
02/16/2018

\*\*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) Each unit represents the right to receive, at settlement, one share of common stock at no cost.
- 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 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 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 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.
- This RSU award was granted on January 1, 2016. One-third of the shares in the award vested on February 10, 2017. 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 January 3, 2017. One-third of the shares in the award vested on February 15, 2018. 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 January 3, 2017, and these shares represent all of the shares in the award which vested on February 15, 2018.
- This PSU award was granted on January 1, 2016. One-third of the shares in the award vested on February 10, 2017 due to the achievement 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 PSU award was granted on January 3, 2017. One-third of the shares in the award vested on February 15, 2018 due to the achievement of a certain 2017 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.

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- (9) This PSU award was granted on January 3, 2017, and these shares represent all of the shares in the award which vested on February 15, 2018 due to the achievement of a certain 2017 financial performance goal.
- (10) Based on the Reporting Person's most recent 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.