Novakovich Mark Form 4 January 04, 2019

FORM 4

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

Check this box

if no longer subject to Section 16. Form 4 or

Form 5 obligations

may continue. See Instruction 1(b).

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

2. Issuer Name and Ticker or Trading

CONTROL4 CORP [CTRL]

3. Date of Earliest Transaction

(Print or Type Responses)

1. Name and Address of Reporting Person *

Novakovich Mark

(Last) (First)

(Middle)

11734 SOUTH ELECTION ROAD

(Street)

SALT LAKE CITY, UT 84020

(City)

1. Title of

Security

(Instr. 3)

(Month/Day/Year) 01/03/2019

Symbol

4. If Amendment, Date Original

Filed(Month/Day/Year)

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

(State) (Zip)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if

(Month/Day/Year)

TransactionAcquired (A) or Code (Instr. 8)

3.

Disposed of (D)

4. Securities

(Instr. 3, 4 and 5)

Following Reported (A)

Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price

Owned

Issuer

below)

Person

5. Amount of

Securities

Beneficially

Director

Applicable Line)

X_ Officer (give title

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

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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)

Conversion or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year)

Execution Date, if any

4. 5. Number of TransactionDerivative Code Securities

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

OMB APPROVAL

3235-0287

January 31,

2005

0.5

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Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

6. Individual or Joint/Group Filing(Check

6. Ownership

Form: Direct

(D) or Indirect Beneficial

X Form filed by One Reporting Person Form filed by More than One Reporting

(T)

(Instr. 4)

(Check all applicable)

below) Chief Financial Officer

10% Owner

Other (specify

7. Nature of

Ownership

(Instr. 4)

Indirect

Estimated average

burden hours per

7. Title and Amo Underlying Secu (Instr. 3 and 4)

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	Price of Derivative Security		(Month/Day/Year)	(Instr. 8)	Acquired or Dispose (D) (Instr. 3, 4 and 5)	ed of			
				Code V	(A)	(D) Date Exercisable	Expiration Date	Title	An or Nu of
Restricted Stock Units	(1)	01/03/2019		A	1,750	(2)	<u>(2)</u>	Common Stock	1
Restricted Stock Units	<u>(1)</u>	01/03/2019		A	21,350	(3)	<u>(3)</u>	Common Stock	21
Performance-based Restricted Stock units	(1)	01/03/2019		A	21,350	<u>(4)</u>	<u>(4)</u>	Common Stock	21
Performance-based Restricted Stock Units	<u>(1)</u>	01/03/2019		A	11,950	(5)	(5)	Common Stock	11

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Oth	er	
ovakovich Mark						

11734 SOUTH ELECTION ROAD SALT LAKE CITY, UT 84020

Chief Financial Officer

Signatures

/s/ Jonathan Tanner, Attorney in fact for Mark Novakovich

01/04/2019

**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) This RSU award was granted on January 3, 2019, and these shares will vest in full on February 15, 2020, subject to the reporting person's continuous service to the Issuer on each such date.
- This RSU award was granted on January 3, 2019, and will vest as follows: 1/3 of the shares shall vest on February 15, 2020, and an additional 1/12 of the shares shall vest quarterly thereafter in each of the following eight quarters, subject to the reporting person's continuous service to the Issuer on each such date.
- This PSU award was granted on January 3, 2019, and upon the certification that certain 2019 financial performance goals were achieved, (4) these shares will vest as follows: 1/3 of the shares shall vest on February 15, 2020, and an additional 1/12 of the shares shall vest quarterly thereafter in each of the following eight quarters, subject to the reporting person's continuous service to the Issuer on each such date.
- (5) This PSU award was granted on January 3, 2019, and upon the certification that certain 2019 financial performance goals were achieved, these shares will vest in full on February 15, 2020, subject to the reporting person's continuous service to the Issuer on each such date.

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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.