

Cashen Susan  
Form 4  
November 06, 2018

**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

## OMB APPROVAL

OMB  
Number: 3235-0287  
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2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Cashen Susan

(Last) (First) (Middle)

C/O CONTROL4  
CORPORATION, 11734 S.  
ELECTION ROAD

(Street)

SALT LAKE CITY, UT 84020

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
CONTROL4 CORP [CTRL]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/06/2018

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
SVP of Marketing

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_X\_\_ Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting  
Person

**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 (A) or Disposed of (D) (Instr. 3, 4 and 5)	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 Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock	11/06/2018 <sup>(1)</sup>		M		5,022 A \$ 4.89	5,022	D
Common Stock	11/06/2018 <sup>(1)</sup>		S		5,022 D \$ 23.2 <sup>(2)</sup>	0	D
Common Stock	11/06/2018 <sup>(1)</sup>		M		2,500 A \$ 11.28	2,500	D
Common Stock	11/06/2018 <sup>(1)</sup>		S		2,500 D \$ 22.8	0	D
Common Stock						743	I

By 401(k)  
Plan <sup>(3)</sup>

## Edgar Filing: Cashen Susan - Form 4

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. Transaction Code (Instr. 8)	5. Number of 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 Amount of Underlying Securities (Instr. 3 and 4)		8. I Der Sec (In
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (Right to Buy)	\$ 4.89	11/06/2018		M	5,022	<u>(4)</u>	08/31/2019	Common Stock	5,022	
Stock Option (Right to Buy)	\$ 11.28	11/06/2018		M	2,500	<u>(5)</u>	06/10/2023	Common Stock	2,500	

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cashen Susan C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020			SVP of Marketing	

## Signatures

/s/ Jonathan Tanner, Attorney in fact for Susan  
Cashen

11/06/2018

\_\_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 February 22, 2018.

This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$22.80 per share

(2) to \$23.56 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) Shares held in Reporting Person's 401(k) Plan.

(4) Incentive Stock Options granted September 1, 2009 that are fully vested.

(5) Incentive Stock Options granted June 11, 2013 that are fully vested.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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