Cashen Susan Form 4 November 19, 2018

# FORM 4

#### **OMB APPROVAL**

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### 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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

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 \* Cashen Susan

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(Last) (First) (Middle)

(Street)

CONTROL4 CORP [CTRL] 3. Date of Earliest Transaction

(Check all applicable) Director 10% Owner

C/O CONTROL4 CORPORATION, 11734 S. (Month/Day/Year) 11/15/2018

X\_ Officer (give title \_ Other (specify below)

SVP of Marketing

**ELECTION ROAD** 

4. If Amendment, Date Original

Applicable Line)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

#### SALT LAKE CITY, UT 84020

(City)	(State)	(Zip) 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. Transactio Code (Instr. 8)	4. Securities Acquired on(A) or Disposed of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code V	Amount	or	Price	Transaction(s) (Instr. 3 and 4)		
Common Stock	11/15/2018		M	1,417	A	<u>(1)</u>	1,417	D	
Common Stock	11/15/2018		F	703 (2)	D	\$ 22.21	714	D	
Common Stock	11/15/2018		M	1,233	A	<u>(1)</u>	1,947	D	
Common Stock	11/15/2018		F	612 (2)	D	\$ 22.21	1,335	D	
Common Stock	11/15/2018		M	1,417	A	<u>(1)</u>	2,752	D	

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Common Stock	11/15/2018	F	703 (2)	D	\$ 22.21	2,049	D	
Common Stock	11/15/2018	M	1,233	A	<u>(1)</u>	3,282	D	
Common Stock	11/15/2018	F	612 (2)	D	\$ 22.21	2,670	D	
Common Stock	11/16/2018	M	5,022	A	\$ 4.89	7,692	D	
Common Stock	11/16/2018	S	5,022	D	\$ 22.48 <u>(9)</u>	2,670	D	
Common Stock						757	I	By 401(k) Plan (3)

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. 5. Number Transaction of Derivative Code Securities (Instr. 8) Acquired (A) or Disposed o (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and A Underlying So (Instr. 3 and 4
					Code V	(A) (D)	Date Exercisable	Expiration Date	Title
	Performance-based Restricted Stock Units	(1)	11/15/2018		M	1,417	<u>(4)</u>	<u>(4)</u>	Common Stock
	Performance-based Restricted Stock Units	(1)	11/15/2018		M	1,233	<u>(5)</u>	(5)	Common Stock
	Restricted Stock Units	<u>(1)</u>	11/15/2018		M	1,417	(6)	<u>(6)</u>	Common Stock
	Restricted Stock Units	<u>(1)</u>	11/15/2018		M	1,233	<u>(7)</u>	<u>(7)</u>	Common Stock

Stock Option (Right to Buy) \$ 4.89 11/16/2018 M 5,022 (8) 08/31/2019 Common Stock

## **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

11/19/2018

\*\*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 these 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
- (2) 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.
- (3) Shares held in Reporting Person's 401(k) Plan.
- 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 (4) 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 (5) 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.
- 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 (6) 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 (7) 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.
- (8) Incentive Stock Options granted September 1, 2009, which vested over 4 years and are now fully vested and exercisable.
- This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$22.00 per share (9) to \$22.97 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.

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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