

CONTROL4 CORP
Form 4
February 17, 2017

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Dungan Jefferson

(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)
02/15/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
SVP Bus. Development

6. Individual or Joint/Group Filing(Check Applicable Line)
 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 or Price		
Common Stock	02/15/2017 ⁽¹⁾		M		2,680 A \$ 6.14	30,724	D
Common Stock	02/15/2017 ⁽¹⁾		S		2,680 D \$ 15.28	28,044	D
Common Stock	02/15/2017 ⁽¹⁾		M		6,935 A \$ 6.14	34,979	D
Common Stock	02/15/2017 ⁽¹⁾		S		6,935 D \$ 15.28	28,044	D

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Common Stock	02/15/2017 ⁽¹⁾	M	6,045	A	\$ 7.49	34,089	D	
Common Stock	02/15/2017 ⁽¹⁾	S	6,045	D	\$ 15.28 <u>(2)</u>	28,044	D	
Common Stock	02/15/2017 ⁽¹⁾	M	26,674	A	\$ 7.49	54,718	D	
Common Stock	02/15/2017 ⁽¹⁾	S	26,674	D	\$ 15.28 <u>(2)</u>	28,044	D	
Common Stock	02/15/2017 ⁽¹⁾	M	2,639	A	\$ 6.34	30,683	D	
Common Stock	02/15/2017 ⁽¹⁾	S	2,639	D	\$ 15.28 <u>(2)</u>	28,044	D	
Common Stock	02/15/2017 ⁽¹⁾	M	2,168	A	\$ 6.34	30,212	D	
Common Stock	02/15/2017 ⁽¹⁾	S	2,168	D	\$ 15.28 <u>(2)</u>	28,044	D	
Common Stock	02/15/2017 ⁽¹⁾	M	1,279	A	\$ 9.15	29,323	D	
Common Stock	02/15/2017 ⁽¹⁾	S	1,279	D	\$ 15.28 <u>(2)</u>	28,044	D	
Common Stock	02/16/2017 ⁽¹⁾	M	11,942	A	\$ 9.15	39,986	D	
Common Stock	02/16/2017 ⁽¹⁾	S	11,942	D	\$ 14.98 <u>(3)</u>	28,044	D	
Common Stock	02/16/2017 ⁽¹⁾	M	6,009	A	\$ 9.15	34,053	D	
Common Stock	02/16/2017 ⁽¹⁾	S	6,009	D	\$ 14.89 <u>(3)</u>	28,044	D	
Common Stock						25	I	By 401(k) Plan ⁽⁴⁾

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

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(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. 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. Amount or Number of Shares
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
Stock Option (right to buy)	\$ 6.14	02/15/2017		M	2,680	<u>(5)</u>	05/25/2021	Common Stock	2,680
Stock Option (right to buy)	\$ 6.14	02/15/2017		M	6,935	<u>(6)</u>	05/25/2021	Common Stock	6,935
Stock Option (right to buy)	\$ 7.49	02/15/2017		M	6,045	<u>(7)</u>	07/08/2020	Common Stock	6,045
Stock Option (right to buy)	\$ 7.49	02/15/2017		M	26,674	<u>(8)</u>	07/08/2020	Common Stock	26,674
Stock Option (right to buy)	\$ 6.34	02/15/2017		M	2,639	<u>(9)</u>	12/28/2021	Common Stock	2,639
Stock Option (right to buy)	\$ 6.34	02/15/2017		M	2,168	<u>(10)</u>	12/28/2021	Common Stock	2,168
Stock Option (right to buy)	\$ 9.15	02/15/2017		M	1,279	<u>(11)</u>	09/27/2022	Common Stock	1,279
Stock Option (right to buy)	\$ 9.15	02/16/2017		M	11,942	<u>(11)</u>	09/27/2022	Common Stock	11,942
	\$ 9.15	02/16/2017		M	6,009	<u>(12)</u>	09/27/2022		6,009

Stock
Option
(right to
buy)

Common
Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Dungan Jefferson C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020			SVP Bus. Development	

Signatures

/s/ Greg Bishop, Attorney in fact for Jefferson Dungan	02/17/2017
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__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) Pursuant to a Rule 10b5-1 trading plan established by the Reporting Person.
This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$15.13 per share to \$15.49 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.
- (2) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$14.71 per share to \$15.19 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) On August 9, 2013 the reporting person acquired 25 shares of Common Stock in his 401(k) Plan.
- (4) Non-qualified Stock Options granted May 26, 2011 are fully vested and exercisable.
- (5) Incentive Stock Options granted May 26, 2011 are fully vested and exercisable.
- (6) Non-qualified Stock Options granted July 9, 2010 are fully vested and exercisable.
- (7) Incentive Stock Options granted July 9, 2010 are fully vested and exercisable.
- (8) Incentive Stock Options granted December 29, 2011 are fully vested and exercisable.
- (9) Non-qualified Stock Options granted December 29, 2011 are fully vested and exercisable.
- (10) Incentive Options granted September 28, 2012 are fully vested and exercisable.
- (11) Non-Qualified Options granted September 28, 2012 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.