

ELLIS JOSHUA D.  
Form 4  
February 20, 2019

# 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 \*  
ELLIS JOSHUA D.

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

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

11734 SOUTH ELECTION ROAD

02/15/2019

General Counsel

(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

DRAPER, 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. 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	02/15/2019		M		600 A \$ 2,374	D	
Common Stock	02/15/2019		F		208 (2) D \$ 17.89	D	
Common Stock	02/15/2019		M		467 A \$ 2,633	D	
Common Stock	02/15/2019		F		162 (2) D \$ 17.89	D	
Common Stock	02/15/2019		M		666 A \$ 3,137	D	

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Common Stock	02/15/2019	F	231 <u>(2)</u>	D	\$ 17.89	2,906	D	
Common Stock	02/15/2019	M	666	A	<u>(1)</u>	3,572	D	
Common Stock	02/15/2019	F	231 <u>(2)</u>	D	\$ 17.89	3,341	D	
Common Stock	02/15/2019	M	1,933	A	<u>(1)</u>	5,274	D	
Common Stock	02/15/2019	F	669 <u>(2)</u>	D	\$ 17.89	4,605	D	
Common Stock	02/15/2019	M	6,950	A	<u>(1)</u>	11,555	D	
Common Stock	02/15/2019	F	2,045 <u>(2)</u>	D	\$ 17.89	9,510	D	
Common Stock	02/15/2019	M	1,266	A	<u>(1)</u>	10,776	D	
Common Stock	02/15/2019	F	371 <u>(2)</u>	D	\$ 17.89	10,405	D	
Common Stock						679	I	By 401(k) Plan <u>(3)</u>

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

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(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 Security (Instr. 3 and 4)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
Restricted Stock Units	<u>(1)</u>	02/15/2019		M	600	<u>(4)</u>	<u>(4)</u>	Common Stock	600
	<u>(1)</u>	02/15/2019		M	467	<u>(5)</u>	<u>(5)</u>		467



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- (7) This RSU award was granted on March 1, 2018. One-third of the shares in the award vested on February 15, 2019. 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.
- (8) This PSU award was granted on June 1, 2018. One-third of the shares in the award vested on February 15, 2019 due to the achievement of a certain 2018 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.
- (9) This PSU award was granted on June 1, 2018, and these shares represent all of the shares in the award which vested on February 15, 2019 due to the achievement of a certain 2018 financial performance goal.
- (10) This RSU award was granted on June 1, 2018. One-third of the shares in the award vested on February 15, 2019. 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.

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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