

CONTROL4 CORP
Form 4
May 11, 2017

FORM 4

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

OMB APPROVAL

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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 *
Anderson Eric

(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)
05/09/2017

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 of Products

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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Common Stock | 05/09/2017 ⁽¹⁾ | | M | | 34,834 A \$ 8.84 | 51,597 | D |
| Common Stock | 05/09/2017 ⁽¹⁾ | | S | | 34,834 D \$ 17.71 | 16,763 | D |
| Common Stock | 05/09/2017 ⁽¹⁾ | | M | | 17,430 A \$ 8.84 | 34,193 | D |
| Common Stock | 05/09/2017 ⁽¹⁾ | | S | | 17,430 D \$ 17.71 | 16,763 | D |

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| | | | | | | | | |
|--------------|---------------------------|---|--------|---|---------------------------|--------|---|---------------------------|
| Common Stock | 05/10/2017 ⁽¹⁾ | M | 30,749 | A | \$ 8.84 | 47,512 | D | |
| Common Stock | 05/10/2017 ⁽¹⁾ | S | 30,749 | D | \$ 17.85 <u>(4)</u> | 16,763 | D | |
| Common Stock | 05/10/2017 ⁽¹⁾ | M | 27,818 | A | \$ 8.84 | 44,581 | D | |
| Common Stock | 05/10/2017 ⁽¹⁾ | S | 27,818 | D | \$ 17.83 <u>(5)</u> | 16,763 | D | |
| Common Stock | 05/11/2017 ⁽¹⁾ | M | 36,791 | A | \$ 8.84 | 53,554 | D | |
| Common Stock | 05/11/2017 ⁽¹⁾ | S | 36,791 | D | \$ 17.78 <u>(9)</u> | 16,763 | D | |
| Common Stock | | | | | | 28 | I | By 401(k) Plan <u>(6)</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 Securities (Instr. 3 and 4) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Stock Option (right to buy) | \$ 8.84 | 05/09/2017 | | M | 34,834 | <u>(7)</u> 06/30/2022 | Common Stock | 34,834 |
| Stock Option (right to buy) | \$ 8.84 | 05/09/2017 | | M | 17,430 | <u>(8)</u> 06/30/2022 | Common Stock | 17,430 |

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This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$17.59 per share (9) to \$17.95 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.