

Bishop Greg  
Form 4  
March 09, 2018

# 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 \*  
Bishop Greg

(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)  
03/08/2018

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)  
GC, Chief Compl. Officer, Sec

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |                                   |
| Common Stock                    | 03/08/2018 <sup>(1)</sup>            |  | M                              | 1,600   | A \$ 15.37  | 12,558   | D                                 |
| Common Stock                    | 03/08/2018 <sup>(1)</sup>            |  | S                              | 1,600   | D \$ 25.01  | 10,958   | D                                 |
| Common Stock                    | 03/08/2018 <sup>(1)</sup>            |  | M                              | 1,247   | A \$ 11.28  | 12,205   | D                                 |
| Common Stock                    | 03/08/2018 <sup>(1)</sup>            |  | S                              | 1,247   | D \$ 25 <sup>(3)</sup>  | 10,958   | D                                 |
|                                 | 03/08/2018 <sup>(1)</sup>            |  | M                              | 6,937   | A   | 17,895   | D                                 |

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|              |                           |   |       |   |  |                        |        |   |
|--------------|---------------------------|---|-------|---|--|------------------------|--------|---|
| Common Stock |                           |   |       |   |  | \$ 11.28               |        |   |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 6,937 | D |  | \$ 25.06<br><u>(4)</u> | 10,958 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 9,757 | A |  | \$ 9.93                | 20,715 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 9,757 | D |  | \$ 25.06<br><u>(5)</u> | 10,958 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 7,692 | A |  | \$ 6.34                | 18,650 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 7,692 | D |  | \$ 25.07<br><u>(6)</u> | 10,958 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 4,423 | A |  | \$ 6.14                | 15,381 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 4,423 | D |  | \$ 25.04<br><u>(7)</u> | 10,958 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 108   | A |  | \$ 11.28               | 11,066 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 108   | D |  | \$ 25                  | 10,958 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 208   | A |  | \$ 15.37               | 11,166 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 208   | D |  | \$ 25                  | 10,958 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 4,807 | A |  | \$ 4.89                | 15,765 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 4,807 | D |  | \$ 25.04<br><u>(8)</u> | 10,958 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 105   | A |  | \$ 20.91               | 11,063 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 105   | D |  | \$ 25                  | 10,958 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 1,923 | A |  | \$ 4.89                | 12,881 | D |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 1,923 | D |  | \$ 25.01<br><u>(9)</u> | 10,958 | D |

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|              |                           |   |       |   |                            |        |   |                               |
|--------------|---------------------------|---|-------|---|----------------------------|--------|---|-------------------------------|
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 9,626 | A | \$ 4.89                    | 20,584 | D |                               |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 9,626 | D | \$<br>25.06<br><u>(10)</u> | 10,958 | D |                               |
| Common Stock | 03/08/2018 <sup>(1)</sup> | M | 9,778 | A | \$ 6.14                    | 20,736 | D |                               |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 9,778 | D | \$<br>25.06<br><u>(11)</u> | 10,958 | D |                               |
| Common Stock | 03/08/2018 <sup>(1)</sup> | S | 9,774 | D | \$<br>25.06<br><u>(12)</u> | 1,184  | D |                               |
| Common Stock |                           |   |       |   |                            | 454    | I | By 401(k)<br>Plan <u>(13)</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)                | \$ 15.37   | 03/08/2018                           |  | M                              | 1,600   | <u>(14)</u> 12/30/2024                                   | Common Stock  | 1,600                         |
| Stock Option (right to buy)                | \$ 11.28   | 03/08/2018                           |  | M                              | 1,247   | <u>(15)</u> 06/10/2023                                   | Common Stock  | 1,247                         |
|  | \$ 11.28   | 03/08/2018                           |  | M                              | 6,937   | <u>(16)</u> 06/10/2023                                   |   | 6,937                         |

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|                             |          |            |   |       |             |            |              |              |  |
|-----------------------------|----------|------------|---|-------|-------------|------------|--------------|--------------|--|
| Stock Option (right to buy) |          |            |   |       |             |            |              | Common Stock |  |
| Stock Option (right to buy) | \$ 9.93  | 03/08/2018 | M | 9,757 | <u>(17)</u> | 12/25/2022 | Common Stock | 9,757        |  |
| Stock Option (right to buy) | \$ 6.34  | 03/08/2018 | M | 7,692 | <u>(18)</u> | 12/28/2021 | Common Stock | 7,692        |  |
| Stock Option (right to buy) | \$ 6.14  | 03/08/2018 | M | 4,423 | <u>(19)</u> | 05/25/2021 | Common Stock | 4,423        |  |
| Stock Option (right to buy) | \$ 11.28 | 03/08/2018 | M | 108   | <u>(20)</u> | 06/10/2023 | Common Stock | 108          |  |
| Stock Option (right to buy) | \$ 15.37 | 03/08/2018 | M | 208   | <u>(21)</u> | 12/30/2024 | Common Stock | 208          |  |
| Stock Option (right to buy) | \$ 4.89  | 03/08/2018 | M | 4,807 | <u>(22)</u> | 01/14/2020 | Common Stock | 4,807        |  |
| Stock Option (right to buy) | \$ 20.91 | 03/08/2018 | M | 105   | <u>(23)</u> | 02/27/2024 | Common Stock | 105          |  |
| Stock Option (right to buy) | \$ 4.89  | 03/08/2018 | M | 1,923 | <u>(24)</u> | 12/18/2018 | Common Stock | 1,923        |  |
| Stock Option (right to buy) | \$ 4.89  | 03/08/2018 | M | 9,626 | <u>(25)</u> | 05/21/2018 | Common Stock | 9,626        |  |
| Stock Option (right to buy) | \$ 6.14  | 03/08/2018 | M | 9,778 | <u>(26)</u> | 05/25/2021 | Common Stock | 9,778        |  |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                               |       |
|---|---------------|-----------|-------------------------------|-------|
|   | Director      | 10% Owner | Officer                       | Other |
| Bishop Greg<br>C/O CONTROL4 CORPORATION<br>11734 S. ELECTION ROAD<br>SALT LAKE CITY, UT 84020 |               |           | GC, Chief Compl. Officer, Sec |       |

## Signatures

/s/ Greg Bishop                      03/08/2018

\_\_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 November 20, 2017.  
This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.08 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 \$25.00 per share to \$25.09 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) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.20 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.
  - (4) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.21 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.
  - (5) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.20 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.
  - (6) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.21 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.
  - (7) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.18 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.
  - (8) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.08 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.
  - (9) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.21 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.
  - (10) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.21 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.
  - (11) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.21 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.
  - (12)

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This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$25.00 per share to \$25.21 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.

- (13) Based on the Reporting Person's most recent 401(k) Plan statement.
- (14) Non-qualified Stock Options granted December 31, 2014 that vest over four years.
- (15) Non-qualified Stock Options granted June 11, 2013, which vested over 4 years and are now fully vested and exercisable.
- (16) Incentive Stock Options granted June 11, 2013, which vested over 4 years and are now fully vested and exercisable.
- (17) Incentive Stock Options granted December 26, 2012, which vested over 4 years and are now fully vested and exercisable.
- (18) Incentive Stock Options granted December 29, 2011, which vested over 4 years and are now fully vested and exercisable.
- (19) Incentive Stock Options granted May 26, 2011, which vested over 4 years and are now fully vested and exercisable.
- (20) Incentive Stock Options granted June 11, 2013, which vested over 4 years and are now fully vested and exercisable.
- (21) Incentive Stock Options granted December 31, 2014 that vest over four years.
- (22) Incentive Stock Options granted January 15, 2010, which vested over 4 years and are now fully vested and exercisable.
- (23) Incentive Stock Options granted February 28, 2014, which vested over 4 years and are now fully vested and exercisable.
- (24) Incentive Stock Options granted December 19, 2008, which vested over 4 years and are now fully vested and exercisable.
- (25) Incentive Stock Options granted May 22, 2008, which vested over 4 years and are now fully vested and exercisable.
- (26) Incentive Stock Options granted May 26, 2011, which vested over 4 years and are now 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.