Dungan Jefferson Form 4 August 16, 2017

### FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

burden hours per response...

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Number:

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**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

Section 16. Form 4 or Form 5 obligations may continue. See Instruction

Check this box

if no longer

subject to

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(b).

1. Name and Address of Reporting Person \* **Dungan Jefferson** 

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(Last) (First)

(Middle)

CONTROL4 CORP [CTRL]

(Check all applicable)

C/O CONTROL4

CORPORATION, 11734 S. **ELECTION ROAD** 

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

08/15/2017

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

SVP Bus. Development

(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

#### 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. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)			
			Code V	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		
Common Stock	08/15/2017		M	1,417	A	<u>(1)</u>	1,417	D	
Common Stock	08/15/2017		F	459 (2)	D	\$ 23.68	958	D	
Common Stock	08/15/2017		M	1,417	A	<u>(1)</u>	2,375	D	
Common Stock	08/15/2017		F	459 (3)	D	\$ 23.68	1,916	D	
Common Stock							297	I	By 401(k) Plans <u>(6)</u>

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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	3. Transaction Date (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number on Derivative Securities Acquired (A) or	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amous Underlying Securi (Instr. 3 and 4)		
	Security			Disposed of (D) (Instr. 3, 4, and 5)					
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amo or Num of Shar	
Performance-based Restricted Stock Units	(1)	08/15/2017	M	1,417	<u>(4)</u>	<u>(4)</u>	Common Stock	1,4	
Restricted Stock	(1)	08/15/2017	M	1,417	<u>(5)</u>	<u>(5)</u>	Common Stock	1,4	

### **Reporting Owners**

Reporting Owner Name / Address				•	
	Director	10% Owner	Officer		Other
Dungan Jefferson					

C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020

SVP Bus. Development

Relationships

### **Signatures**

/s/ Greg Bishop, Attorney in fact for Jefferson
Dungan
08/16/2017

\*\*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.
- (2) The federal and state tax withholding due at the vesting of Performance-based Restricted Stock 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

Reporting Owners 2

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relevant tax authorities by Conrol4 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) The federal and state tax withholding due at the vesting of Restricted Stock 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 Conrol4 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.
- 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 RSU award was granted on January 1, 2016. One-third of the shares in the award vested on February 10, 2017. The remaining shares (5) 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.
- (6) Shares held in Reporting Person and spouse's 401(k) Plans.

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.