

Anderson Eric
Form 4
November 20, 2017

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Anderson Eric

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)
C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD

3. Date of Earliest Transaction (Month/Day/Year)
11/17/2017

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
SVP of Products

(Street)
SALT LAKE CITY, UT 84020

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 11/17/2017 ⁽¹⁾ | | M | | 7,083 | A | \$ 15.37 |
| Common Stock | 11/17/2017 ⁽¹⁾ | | S | | 7,083 | D | \$ 33.9 ⁽²⁾ |
| Common Stock | 11/17/2017 ⁽¹⁾ | | M | | 4,167 | A | \$ 20.91 |
| Common Stock | 11/17/2017 ⁽¹⁾ | | S | | 4,167 | D | \$ 34.04 ⁽³⁾ |
| | 11/17/2017 ⁽¹⁾ | | S | | 18,266 | D | 3,004 |

Edgar Filing: Anderson Eric - Form 4

| | | | | |
|-----------------|---------------------------|---|--|------------------------------|
| Common Stock | \$ 33.42 <u>(4)</u> | | | |
| Common Stock | 28 | I | | By 401(k) Plan <u>(5)</u> |

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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 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 | 11/17/2017 | | M | 7,083 | <u>(6)</u> 12/30/2024 | Common Stock | 7,083 |
| Stock Option (right to buy) | \$ 20.91 | 11/17/2017 | | M | 4,167 | <u>(7)</u> 02/27/2024 | Common Stock | 4,167 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------|-------|
| | Director | 10% Owner | Officer | Other |
| Anderson Eric C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020 | | | SVP of Products | |

Signatures

/s/ Greg Bishop, Attorney in fact for Eric
Anderson

11/17/2017

__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) Automatic sale pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on August 18, 2017.

This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$33.48 per share to \$34.33 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 \$33.64 per share to \$34.33 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 \$32.65 per share to \$34.33 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) Based on the Reporting Person's most recent 401(k) Plan statement.

(6) Non-qualified Stock Options granted December 31, 2014, 10,000 shares were included in the original grant with vesting over four years. Note that this grant was split into this NSO of 7,500 shares and a related ISO of 2,500 shares.

(7) Non-qualified Stock Options granted February 28, 2014 that vest over four years.

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.