

Cashen Susan  
Form 4  
November 06, 2018

**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 \*  
Cashen Susan

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)  
11/06/2018

\_\_\_ Director \_\_\_ 10% Owner  
 Officer (give title below) \_\_\_ Other (specify below)  
SVP of Marketing

C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD

(Street)

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

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. 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)<br>Code V Amount Price                                 |   |  |                                   |
| Common Stock                    | 11/06/2018 <sup>(1)</sup>            |  | M                              | 5,022 A \$ 4.89   | 5,022   | D  |                                   |
| Common Stock                    | 11/06/2018 <sup>(1)</sup>            |  | S                              | 5,022 D \$ 23.2 <sup>(2)</sup>                                    | 0   | D  |                                   |
| Common Stock                    | 11/06/2018 <sup>(1)</sup>            |  | M                              | 2,500 A \$ 11.28  | 2,500   | D  |                                   |
| Common Stock                    | 11/06/2018 <sup>(1)</sup>            |  | S                              | 2,500 D \$ 22.8   | 0   | D  |                                   |
| Common Stock                    |                                      |  |                                |   | 743   | I  | By 401(k) Plan <sup>(3)</sup>     |

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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 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)                | \$ 4.89  | 11/06/2018                           |  | M                              | 5,022   | <sup>(4)</sup> 08/31/2019                                | Common Stock  | 5,022                         |
| Stock Option (Right to Buy)                | \$ 11.28   | 11/06/2018                           |  | M                              | 2,500   | <sup>(5)</sup> 06/10/2023                                | Common Stock  | 2,500                         |

**Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                  |       |
|--|---------------|-----------|------------------|-------|
|  | Director      | 10% Owner | Officer          | Other |
| Cashen Susan<br>C/O CONTROL4 CORPORATION<br>11734 S. ELECTION ROAD<br>SALT LAKE CITY, UT 84020 |               |           | SVP of Marketing |       |

**Signatures**

/s/ Jonathan Tanner, Attorney in fact for Susan Cashen  
11/06/2018

\_\_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 February 22, 2018.

This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$22.80 per share to \$23.56 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) Shares held in Reporting Person's 401(k) Plan.

(4) Incentive Stock Options granted September 1, 2009 that are fully vested.

(5) Incentive Stock Options granted June 11, 2013 that are fully vested.

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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