CONTROL4 CORP

Form 4

January 05, 2017

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or

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

Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * Novakovich Mark

11734 SOUTH ELECTION ROAD

(Street)

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

(Middle)

CONTROL4 CORP [CTRL]

(Check all applicable)

OMB

Number:

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January 31,

2005

0.5

(Last)

(First)

3. Date of Earliest Transaction

(Month/Day/Year)

Director 10% Owner X_ Officer (give title Other (specify

01/03/2017

below) Chief Financial Officer

4. If Amendment, Date Original

Applicable Line)

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

(Instr. 4)

6. Individual or Joint/Group Filing(Check

Person

below)

SALT LAKE CITY, UT 84020

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Owned

1. Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D)

5. Amount of Securities Beneficially

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (T)

(Instr. 4)

(Month/Day/Year)

(Instr. 3, 4 and 5) (Instr. 8)

Following Reported Transaction(s)

(A) (Instr. 3 and 4) Code V Amount (D) Price

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

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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)

Conversion or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year)

Execution Date, if any

4. 5. Number of TransactionDerivative Code Securities

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

7. Title and Amo Underlying Secu (Instr. 3 and 4)

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	Price of Derivative Security		(Month/Day/Year)	(Instr. 8)	Acquired or Dispos (D) (Instr. 3, 4 and 5)	ed of				
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	An or Nu of
Restricted Stock Units	(1)	01/03/2017		A	24,000		(2)	(2)	Common Stock	24
Performance-based Restricted Stock Units	(1)	01/03/2017		A	24,000		(3)	(3)	Common Stock	24
Performance-based Restricted Stock Units	(1)	01/03/2017		A	15,200		<u>(4)</u>	<u>(4)</u>	Common Stock	15

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Novakovich Mark

11734 SOUTH ELECTION ROAD SALT LAKE CITY, UT 84020

Chief Financial Officer

Signatures

/s/ Greg Bishop, Attorney in fact for Mark Novakovich

01/05/2017

**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.
- This RSU award was granted on January 3, 2017, and will vest as follows: 1/3 of the shares shall vest on February 15, 2018, and an (2) additional 1/12 of the shares shall vest quarterly thereafter in each of the following eight quarters, subject to the reporting person's continuous service to the Issuer on each such date.
- This PSU award was granted on January 3, 2017, and upon the certification that certain 2017 financial performance goals were achieved, (3) these shares will vest as follows: 1/3 of the shares shall vest on February 15, 2018, and an additional 1/12 of the shares shall vest quarterly thereafter in each of the following eight quarters, subject to the reporting person's continuous service to the Issuer on each such date.
- (4) This PSU award was granted on January 3, 2017, and upon the certification that certain 2017 financial performance goals were achieved, these shares will vest in full on February 15, 2018, subject to the reporting person's continuous service to the Issuer on each such date.

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.

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