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

(Print or Type Responses)

1(b).

(Last)

(Instr. 3)

C/O CONTROL4

ELECTION ROAD

1. Name and Address of Reporting Person * Anderson Eric

(First)

(Street)

(Middle)

2. Issuer Name and Ticker or Trading Symbol

CONTROL4 CORP [CTRL]

3. Date of Earliest Transaction

(Month/Day/Year) 01/03/2017

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

5. Relationship of Reporting Person(s) to

(Check all applicable)

SVP of Products

10% Owner

Other (specify

Applicable Line)

Director

X_ Officer (give title

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

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

Issuer

below)

SALT LAKE CITY, UT 84020

CORPORATION, 11734 S.

(State) (Zip) (City) 1. Title of 2. Transaction Date 2A. Deemed Security

(Month/Day/Year) Execution Date, if (Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8)

(Instr. 3, 4 and 5)

(A)

or

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial (I) Ownership (Instr. 4) (Instr. 4)

OMB APPROVAL

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

Reported Transaction(s) (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.

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security

Conversion

3. Transaction Date 3A. Deemed

(Month/Day/Year) Execution Date, if

4. 5. Number of TransactionDerivative

6. Date Exercisable and **Expiration Date**

7. Title and Amo Underlying Secu

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(Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	(Month/Day	/Year)	(Instr. 3 and	4)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	An or Nu of
Restricted Stock Units	(1)	01/03/2017		A	14,800	<u>(2)</u>	(2)	Common Stock	14
Performance-based Restricted Stock Units	(1)	01/03/2017		A	14,800	<u>(3)</u>	(3)	Common Stock	14
Performance-based Restricted Stock Units	<u>(1)</u>	01/03/2017		A	14,000	<u>(4)</u>	<u>(4)</u>	Common Stock	14

Reporting Owners

SALT LAKE CITY, UT 84020

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Anderson Eric						
C/O CONTROL4 CORPORATION			SVP of Products			
11734 S. ELECTION ROAD			SVF of Floducts			

Signatures

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

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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