

Novakovich Mark
Form 4
November 16, 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 *
Novakovich Mark

(Last) (First) (Middle)
11734 SOUTH ELECTION ROAD
(Street)

SALT LAKE CITY, UT 84020

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
CONTROL4 CORP [CTRL]

3. Date of Earliest Transaction
(Month/Day/Year)
11/15/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
Chief Financial Officer

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

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)	Price			
Common Stock	11/15/2017		M	1,416	A	19,911	D	
Common Stock	11/15/2017		F	459 ⁽²⁾	D	\$ 33.12	19,452	D
Common Stock	11/15/2017		M	1,416	A	20,868	D	
Common Stock	11/15/2017		F	459 ⁽³⁾	D	\$ 33.12	20,409	D
Common Stock	11/16/2017 ⁽⁴⁾		S	568	D	\$ 32.99	19,841	D

Edgar Filing: Novakovich Mark - Form 4

- (1) Each unit represents the right to receive, at settlement, one share of common stock at no cost.

The minimum federal and state tax withholding due at the vesting of PSU 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 Control4 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.

- (2) The minimum federal and state tax withholding due at the vesting of RSU 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 Control4 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) Automatic sale pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on November 21, 2017.

- (4) Based on the Reporting Person's most recent 401(k) Plan statement.

This PSU award was granted on June 30, 2016, and upon the certification that certain 2016 financial performance goals were achieved, these shares will vest as follows: 1/3 of the shares vested on February 10, 2017, and an additional 1/12 of the shares shall vest quarterly thereafter on the 15th of the first month in each of the following eight quarters, subject to the reporting person's continuous service to the Issuer on each such date.

- (5) This RSU award was granted on June 30, 2016, and will vest as follows: 1/3 of the shares vested on August 15, 2017, and an additional 1/12 of the shares shall vest quarterly thereafter on the 15th of the first month in each of the following eight quarters, 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.