

Cashen Susan
Form 4
November 19, 2018

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 *
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)
11/15/2018

___ 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)	Price			
Common Stock	11/15/2018		M	1,417	A	1,417	D	
Common Stock	11/15/2018		F	703 ⁽²⁾	D	\$ 22.21	714	D
Common Stock	11/15/2018		M	1,233	A	1,947	D	
Common Stock	11/15/2018		F	612 ⁽²⁾	D	\$ 22.21	1,335	D
Common Stock	11/15/2018		M	1,417	A	2,752	D	

Edgar Filing: Cashen Susan - Form 4

Common Stock	11/15/2018	F	703 ⁽²⁾	D	\$ 22.21	2,049	D	
Common Stock	11/15/2018	M	1,233	A	<u>(1)</u>	3,282	D	
Common Stock	11/15/2018	F	612 ⁽²⁾	D	\$ 22.21	2,670	D	
Common Stock	11/16/2018	M	5,022	A	\$ 4.89	7,692	D	
Common Stock	11/16/2018	S	5,022	D	\$ 22.48 ⁽⁹⁾	2,670	D	
Common Stock						757	I	By 401(k) Plan ⁽³⁾

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 Underlying Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title
Performance-based Restricted Stock Units	<u>(1)</u>	11/15/2018		M	1,417	<u>(4)</u> <u>(4)</u>	Common Stock
Performance-based Restricted Stock Units	<u>(1)</u>	11/15/2018		M	1,233	<u>(5)</u> <u>(5)</u>	Common Stock
Restricted Stock Units	<u>(1)</u>	11/15/2018		M	1,417	<u>(6)</u> <u>(6)</u>	Common Stock
Restricted Stock Units	<u>(1)</u>	11/15/2018		M	1,233	<u>(7)</u> <u>(7)</u>	Common Stock

Stock Option (Right to Buy)	\$ 4.89	11/16/2018	M	5,022	(8)	08/31/2019	Common Stock
--------------------------------	---------	------------	---	-------	-----	------------	-----------------

Reporting Owners

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

Signatures

/s/ Jonathan Tanner, Attorney in fact for Susan Cashen	11/19/2018
---	------------

 **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) Each unit represents the right to receive, at settlement, one share of common stock at no cost.
- The federal and state tax withholding due at the vesting of these Units 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) Shares held in Reporting Person's 401(k) Plan.
- This PSU award was granted on January 1, 2016. One-third of the shares in the award vested on February 10, 2017 due to the achievement of a certain 2016 financial performance goal. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of May, August, November and February in each of the following eight quarters.
- (3) This PSU award was granted on January 3, 2017. One-third of the shares in the award vested on February 15, 2018 due to the achievement of a certain 2017 financial performance goal. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of May, August, November and February in each of the following eight quarters.
- (4) This RSU award was granted on January 1, 2016. One-third of the shares in the award vested on February 10, 2017. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of May, August, November and February in each of the following eight quarters.
- (5) This RSU award was granted on January 3, 2017. One-third of the shares in the award vested on February 15, 2018. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of May, August, November and February in each of the following eight quarters.
- (6) Incentive Stock Options granted September 1, 2009, which vested over 4 years and are now fully vested and exercisable.
- (7) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$22.00 per share to \$22.97 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.
- (8)
- (9)

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.