

Dungan Jefferson  
 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, 2005  
 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 \*  
 Dungan Jefferson

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 Bus. Development

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)
			Code	V	Amount or Price		
Common Stock	11/15/2018		M		1,417 A <u>11</u>	14,506 <sup>(8)</sup>	D
Common Stock	11/15/2018		F		416 <sup>(2)</sup> D \$ 22.21	14,090	D
Common Stock	11/15/2018		M		1,233 A <u>11</u>	15,323	D
Common Stock	11/15/2018		F		547 <sup>(2)</sup> D \$ 22.21	14,776	D
Common Stock	11/15/2018		M		1,417 A <u>11</u>	16,193	D

Edgar Filing: Dungan Jefferson - Form 4

Common Stock	11/15/2018	F	575 <sup>(2)</sup>	D	\$ 22.21	15,618	D	
Common Stock	11/15/2018	M	1,233	A	Ⓛ	16,851	D	
Common Stock	11/15/2018	F	547 <sup>(2)</sup>	D	\$ 22.21	16,304	D	
Common Stock						324	I	By 401(k) Plan <sup>(3)</sup>

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 Amount of Underlying Security (Instr. 3 and 4)	Amount or Number of Shares
Performance-based Restricted Stock Units	Ⓛ	11/15/2018		M	1,417	<sup>(4)</sup> / <sup>(4)</sup>	Common Stock	1,417
Performance-based Restricted Stock Units	Ⓛ	11/15/2018		M	1,233	<sup>(5)</sup> / <sup>(5)</sup>	Common Stock	1,233
Restricted Stock Units	Ⓛ	11/15/2018		M	1,417	<sup>(6)</sup> / <sup>(6)</sup>	Common Stock	1,417
Restricted Stock Units	Ⓛ	11/15/2018		M	1,233	<sup>(7)</sup> / <sup>(7)</sup>	Common Stock	1,233

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director    10% Owner    Officer    Other

Dungan Jefferson  
C/O CONTROL4 CORPORATION  
11734 S. ELECTION ROAD  
SALT LAKE CITY, UT 84020

SVP Bus. Development

## Signatures

/s/ Jonathan Tanner, Attorney in fact for Jefferson  
Dungan

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.

(3) Shares held in Reporting Person and spouse'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.

(5) 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.

(6) 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.

(7) 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.

(8) Since the date of the reporting person's last ownership report, he transferred 13,090 shares of Control4 common stock and employee stock options to purchase 12,187 shares of Control4 common stock to his ex-wife pursuant to a domestic relations order. The transferred options consist of: 1,639 shares from an ISO granted 12/31/2014; 3,048 from an NSO granted 12/31/2014; 4,917 shares from an ISO granted 2/28/2014; and 2,583 shares from an NSO granted 2/28/2014. The reporting person no longer reports as beneficially owned any securities owned by his ex-wife.

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.