Novakovich Mark Form 4 January 08, 2018

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB 3235-0287 Number:

Expires:

January 31, 2005

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OMB APPROVAL

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

1(b).

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. Name and Address of Reporting Person *

Novakovich Mark

2. Issuer Name and Ticker or Trading Symbol

CONTROL4 CORP [CTRL]

(Last) (First) (Middle)

11734 SOUTH ELECTION ROAD

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

01/04/2018

Director 10% Owner

(Check all applicable)

Chief Financial Officer

5. Relationship of Reporting Person(s) to

X_ Officer (give title Other (specify below) below)

(Street) 4. If Amendment, Date Original

(Month/Day/Year)

(Zip)

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

X 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

Issuer

SALT LAKE CITY, UT 84020

(State)

(Month/Day/Year)

1. Title of 2. Transaction Date 2A. Deemed

(City)

Security

(Instr. 3)

3. 4. Securities Execution Date, if TransactionAcquired (A) or

Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

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

Reported Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

(A)

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 Dispose (D) (Instr. 3, 4 and 5)	ed of			
				Code V	(A)	(D) Date Exercisable	Expiration Date	Title	An or Nu of
Restricted Stock Units	<u>(1)</u>	01/04/2018		A	1,050	(2)	(2)	Common Stock	1
Restricted Stock Units	(1)	01/04/2018		A	12,650	(3)	(3)	Common Stock	12
Performance-based Restricted Stock units	(1)	01/04/2018		A	12,650	<u>(4)</u>	<u>(4)</u>	Common Stock	12
Performance-based Restricted Stock Units	(1)	01/04/2018		A	7,100	(5)	<u>(5)</u>	Common Stock	7

Reporting Owners

Reporting Owner Name / Address	Keiauonsnips						
	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

01/08/2018

**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.
- (2) This RSU award was granted on January 4, 2018, and these shares will vest in full on February 15, 2019, subject to the reporting person's continuous service to the Issuer on each such date.
- This RSU award was granted on January 4, 2018, and will vest as follows: 1/3 of the shares shall vest on February 15, 2019, 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.
- This PSU award was granted on January 4, 2018, and upon the certification that certain 2018 financial performance goals were achieved, (4) these shares will vest as follows: 1/3 of the shares shall vest on February 15, 2019, 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.
- (5) This PSU award was granted on January 4, 2018, and upon the certification that certain 2018 financial performance goals were achieved, these shares will vest in full on February 15, 2019, subject to the reporting person's continuous service to the Issuer on each such date.

Reporting Owners 2

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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.