

ELLIS JOSHUA D.

Form 4/A

March 04, 2019

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 *
 ELLIS JOSHUA D.

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)

11734 SOUTH ELECTION ROAD

3. Date of Earliest Transaction
 (Month/Day/Year)
 08/15/2018

____ Director ____ 10% Owner
 ____X____ Officer (give title below) ____ Other (specify below)

General Counsel

(Street)

DRAPER, UT 84020

4. If Amendment, Date Original
 Filed(Month/Day/Year)
 08/15/2018

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

(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) |
|---------------------------------------|---|---|---|---|--|--|---|
| Common Stock | 08/15/2018 | | M | 600 A | 3,994 ⁽⁶⁾ | D | |
| Common Stock | 08/15/2018 | | F | 176 ⁽²⁾ D | \$ 32.44 3,818 | D | |
| Common Stock | 08/15/2018 | | M | 467 A | 4,285 | D | |
| Common Stock | 08/15/2018 | | F | 137 ⁽²⁾ D | \$ 32.44 4,148 | D | |
| Common Stock | | | | | 509 | I | By 401(k) Plan ⁽³⁾ |

Edgar Filing: ELLIS JOSHUA D. - Form 4/A

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 Securities (Instr. 3 and 4) | 8. Price or Value of Derivative Security (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Units | (1) | 08/15/2018 | | M | 600 | (4) (4) | Common Stock | 600 \$ 0 |
| Restricted Stock Units | (1) | 08/15/2018 | | M | 467 | (5) (5) | Common Stock | 467 \$ 0 |

Reporting Owners

| Reporting Owner Name / Address | Relationships |
|--|----------------------------------|
| | Director 10% Owner Officer Other |
| ELLIS JOSHUA D. 11734 SOUTH ELECTION ROAD DRAPER, UT 84020 | General Counsel |

Signatures

/s/ Jonathan Tanner, attorney-in-fact for Joshua D. Ellis

03/04/2019

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)

Edgar Filing: ELLIS JOSHUA D. - Form 4/A

The federal and state tax withholding due at the vesting of Restricted Stock 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's 401(k) Plan.

This RSU award was granted on January 29, 2016. One-third of the shares in the award vested on February 15, 2017. The remaining

(4) 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.

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

(5) 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.

The each of common stock share numbers reported in the originally filed Form 4 were 530 shares to low, and this error was carried

(6) through subsequent Forms 4 until February 20, 2019 when the share count was reconciled with the brokerage account and the additional 530 were again included.

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.