

CONTROL4 CORP
Form 4
January 05, 2016

FORM 4

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

OMB APPROVAL

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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

(Last) (First) (Middle)

C/O CONTROL4 CORPORATION, 11734 S. 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)
01/01/2016

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)
SVP Bus. Development

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) | Code V Amount (D) Price | | |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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 | 2. Conversion | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if | 4. Transaction | 5. Number of Derivative | 6. Date Exercisable and Expiration Date | 7. Title and Amount of Underlying Security |
|---------------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|--|
|---------------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|--|

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| (Instr. 3) | or Exercise Price of Derivative Security | any (Month/Day/Year) | Code (Instr. 8) | Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | (Month/Day/Year) | (Instr. 3 and 4) | | | | |
|--|--|----------------------|-----------------|---|------------------|------------------|------------------|-----------------|--------------|-------------|
| | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | An or Nu of |
| Restricted Stock Units | (1) | 01/01/2016 | A | | 17,000 | | (3) | (3) | Common Stock | 17 |
| Performance-based Restricted Stock Units | (2) | 01/01/2016 | A | | 17,000 | | (4) | (4) | Common Stock | 17 |
| Performance-based Restricted Stock Units | (2) | 01/01/2016 | A | | 13,900 | | (5) | (5) | Common Stock | 13 |

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/ Greg Bishop, Attorney in fact for Jefferson Dungan

01/05/2016

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 RSU represents the right to receive, at settlement, one share of common stock at no cost.
- (2) Each PSU represents the right to receive, at settlement, one share of common stock at no cost.
This RSU award was granted on January 1, 2016, and will vest as follows: 1/3 of the shares shall vest on February 10, 2017, 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.
- (3) This PSU award was granted on January 1, 2016, and upon the certification that certain 2016 financial performance goals were achieved, these shares will vest as follows: 1/3 of the shares shall vest on February 10, 2017, 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.
- (4) This PSU award was granted on January 1, 2016, and upon the certification that certain 2016 financial performance goals were achieved, these shares will vest in full on February 10, 2017, subject to the reporting person's continuous service to the Issuer on each such date.
- (5)

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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