

PLAEHN MARTIN
Form 4
August 17, 2018

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 *
PLAEHN MARTIN

2. Issuer Name and Ticker or Trading Symbol
CONTROL4 CORP [CTRL]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman, CEO and President

(Last) (First) (Middle)
C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD

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

(Street)
SALT LAKE CITY, UT 84020

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

(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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	08/15/2018 ⁽¹⁾		M		\$ 6.14		D
					117,815		
Common Stock	08/15/2018 ⁽¹⁾		S		\$ 31.91		D
					112,779		
					⁽²⁾		
Common Stock	08/15/2018 ⁽¹⁾		M		\$ 11.28		D
					131,529		
Common Stock	08/15/2018 ⁽¹⁾		S		\$ 31.71		D
					112,779		
					⁽³⁾		

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Common Stock	08/15/2018 ⁽¹⁾	M	18,744	A	\$ 6.14	131,523	D	
Common Stock	08/15/2018 ⁽¹⁾	S	18,744	D	\$ 31.38 <u>(4)</u>	112,779	D	
Common Stock	08/16/2018 ⁽¹⁾	M	36,933	A	\$ 6.14	149,712	D	
Common Stock	08/16/2018 ⁽¹⁾	S	36,933	D	\$ 31.71 <u>(5)</u>	112,779	D	
Common Stock	08/17/2018 ⁽¹⁾	M	9,511	A	\$ 6.14	122,290	D	
Common Stock	08/17/2018 ⁽¹⁾	S	9,511	D	\$ 31.61 <u>(6)</u>	112,779	D	
Common Stock	08/17/2018 ⁽¹⁾	M	15,406	A	\$ 6.14	128,185	D	
Common Stock	08/17/2018 ⁽¹⁾	S	15,406	D	\$ 32.08 <u>(7)</u>	112,779	D	
Common Stock						775	I	By 401(k) Plan <u>(8)</u>

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 (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. Amount or Number of Shares
Stock Option (Right to	\$ 6.14	08/15/2018		M	5,036	<u>(9)</u> 01/22/2024	Common Stock	5,036

Buy)

Stock Option (Right to Buy)	\$ 11.28	08/15/2018	M	18,750	(10)	06/10/2023	Common Stock	18,750
Stock Option (Right to Buy)	\$ 6.14	08/15/2018	M	18,744	(11)	09/28/2021	Common Stock	18,744
Stock Option (Right to Buy)	\$ 6.14	08/16/2018	M	36,933	(11)	09/28/2021	Common Stock	36,933
Stock Option (Right to Buy)	\$ 6.14	08/17/2018	M	9,511	(11)	09/28/2021	Common Stock	9,511
Stock Option (Right to Buy)	\$ 6.14	08/17/2018	M	15,406	(12)	09/28/2021	Common Stock	15,406

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PLAEHN MARTIN C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020	X		Chairman, CEO and President	

Signatures

/s/ Jonathan Tanner, Attorney in fact for Martin
Plaehn

08/17/2018

__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) Automatic sale pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on February 22, 2018.
This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$31.57 per share to \$32.20 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.
 - (2) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$31.40 per share to \$32.38 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.
 - (3) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$31.40 per share to \$32.38 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.

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(4) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$31.20 per share to \$31.63 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.

(5) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$31.46 per share to \$31.95 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.

(6) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$31.28 per share to \$31.87 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.

(7) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$31.81 per share to \$32.29 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) Shares held in Reporting Person's 401(k) Plan.

(9) Non-qualified Stock Options granted January 23, 2014 that were fully vested.

(10) Incentive Stock Options granted June 11, 2013 that are fully vested.

(11) Incentive Stock Options granted September 29, 2011 that are fully vested.

(12) Non-qualified Stock Options granted September 29, 2011 that are fully vested.

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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