

PLAETHN MARTIN
Form 4
August 22, 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 *
PLAETHN MARTIN

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)
C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD

3. Date of Earliest Transaction (Month/Day/Year)
08/20/2018

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

(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) | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|---|
| | | | | (A) or (D) | Price | | | |
| | | | | Code | V | Amount | | |
| Common Stock | 08/20/2018 ⁽¹⁾ | | M | 33,570 | A | \$ 6.14 | 146,349 | D |
| Common Stock | 08/20/2018 ⁽¹⁾ | | S | 33,570 | D | \$ 32.23 | 112,779 | D |
| Common Stock | 08/20/2018 ⁽¹⁾ | | M | 5,036 | A | \$ 6.14 | 117,815 | D |
| Common Stock | 08/20/2018 ⁽¹⁾ | | S | 5,036 | D | \$ 32.6 | 112,779 | D |
| Common Stock | 08/20/2018 ⁽¹⁾ | | M | 5,036 | A | \$ 6.14 | 117,815 | D |

Edgar Filing: PLAETHN MARTIN - Form 4

| | | | | | | | | | |
|--------------|---------------------------|---|---------|---|---------------------------|---------|---|--|------------------------------|
| Common Stock | | | | | | | | | |
| Common Stock | 08/20/2018 ⁽¹⁾ | S | 5,036 | D | \$ 32.59 <u>(4)</u> | 112,779 | D | | |
| Common Stock | 08/21/2018 ⁽¹⁾ | M | 1,284 | A | \$ 6.14 | 114,063 | D | | |
| Common Stock | 08/21/2018 ⁽¹⁾ | S | 1,284 | D | \$ 32.53 <u>(5)</u> | 112,779 | D | | |
| Common Stock | 08/21/2018 ⁽¹⁾ | M | 162,948 | A | \$ 6.14 | 275,727 | D | | |
| Common Stock | 08/21/2018 ⁽¹⁾ | S | 162,948 | D | \$ 34.53 <u>(6)</u> | 112,779 | D | | |
| Common Stock | 08/22/2018 ⁽¹⁾ | M | 4,124 | A | \$ 6.14 | 116,903 | D | | |
| Common Stock | 08/22/2018 ⁽¹⁾ | S | 4,124 | D | \$ 35.19 | 112,779 | D | | |
| Common Stock | | | | | | 775 | I | | By 401(k) Plan <u>(7)</u> |

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) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Stock Option (Right to Buy) | \$ 6.14 | 08/20/2018 | | M | 33,570 | <u>(8)</u> | 09/28/2021 | Common Stock | 33,570 |
| Stock | \$ 6.14 | 08/20/2018 | | M | 5,036 | <u>(8)</u> | 09/28/2021 | Common | 5,036 |

| Option (Right to Buy) | Stock | | | | | | | | | |
|-----------------------------|-------|---------|------------|---|---------|------------|------------|-----------------|---------|--|
| Option (Right to Buy) | Stock | \$ 6.14 | 08/20/2018 | M | 5,036 | <u>(8)</u> | 09/28/2021 | Common Stock | 5,036 | |
| Option (Right to Buy) | Stock | \$ 6.14 | 08/21/2018 | M | 1,284 | <u>(8)</u> | 09/28/2021 | Common Stock | 1,284 | |
| Option (Right to Buy) | Stock | \$ 6.14 | 08/21/2018 | M | 162,948 | <u>(9)</u> | 09/28/2021 | Common Stock | 162,948 | |
| Option (Right to Buy) | Stock | \$ 6.14 | 08/22/2018 | M | 4,124 | <u>(9)</u> | 09/28/2021 | Common Stock | 4,124 | |

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

08/22/2018

__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 \$31.68 per share to \$32.65 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 \$32.47 per share to \$32.71 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 \$32.47 per share to \$32.72 per share. Full information regarding the number of shares sold at each price will be provided upon request from the SEC, the

Edgar Filing: PLAETHN MARTIN - Form 4

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 \$32.36 per share to \$32.61 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 \$32.23 per share to \$35.46 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) Shares held in Reporting Person's 401(k) Plan.

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

(9) Incentive 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.

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.