

# **CONTROL4 CORP**

Reported by  
**PLAEHN MARTIN**

## **FORM 4**

(Statement of Changes in Beneficial Ownership)

Filed 11/09/17 for the Period Ending 11/07/17

Address	11734 SOUTH ELECTION ROAD SALT LAKE CITY, UT, 84020
Telephone	801-523-3100
CIK	0001259515
Symbol	CTRL
Fiscal Year	12/31

# FORM 4

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

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## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or  
Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person *			2. Issuer Name and Ticker or Trading Symbol			5. Relationship of Reporting Person(s) to Issuer (Check all applicable)		
PLAEHN MARTIN			CONTROL4 CORP [ CTRL ]			<input checked="" type="checkbox"/> Director _____ 10% Owner <input type="checkbox"/> Officer (give title below) _____ Other (specify below) <b>Chairman, CEO and President</b>		
(Last) (First) (Middle)			3. Date of Earliest Transaction (MM/DD/YYYY)					
C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD			11/7/2017					
(Street)			4. If Amendment, Date Original Filed (MM/DD/YYYY)			6. Individual or Joint/Group Filing (Check Applicable Line)		
SALT LAKE CITY, UT 84020						<input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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. Trans. Date	2A. Deemed Execution Date, if any	3. Trans. 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	(A) or (D)	Price			
Common Stock	11/7/2017 (1)		M		117137	A	\$6.14	169257	D	
Common Stock	11/7/2017 (1)		S		117137	D	\$33.02 (2)	52120	D	
Common Stock	11/8/2017 (1)		M		53295	A	\$6.14	105415	D	
Common Stock	11/8/2017 (1)		S		53295	D	\$32.13 (3)	52120	D	
Common Stock	11/9/2017 (1)		M		51568	A	\$6.14	103688	D	
Common Stock	11/9/2017 (1)		S		51568	D	\$30.63 (4)	52120	D	
Common Stock								498	I	By 401(k) Plan (5)

**Table II - Derivative Securities Beneficially Owned ( e.g. , puts, calls, warrants, options, convertible securities)**

1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans. Date	3A. Deemed Execution Date, if any	4. Trans. 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		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V		Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (right to buy)	\$6.14	11/7/2017		M		117137	(6)	9/28/2021	Common Stock	117137	\$0	421935	D	
Stock Option (right to buy)	\$6.14	11/8/2017		M		53295	(6)	9/28/2021	Common Stock	53295	\$0	368640	D	
Stock Option (right to buy)	\$6.14	11/9/2017		M		51568	(6)	9/28/2021	Common Stock	51568	\$0	317072	D	

### Explanation of Responses:

- Automatic sale pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on May 16, 2017.
- This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$32.32 per share to \$33.77 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.
- This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$31.65 per share to \$32.82 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.
- This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$29.57 per share to \$31.46 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.
- Based on the Reporting Person's most recent 401(k) Plan statement.
- Non-qualified Stock Options granted September 29, 2011 that are fully vested and exercisable.

**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/ Greg Bishop, Attorney in fact for Martin Plaehn11/9/2017

\*\*Signature of Reporting Person

Date

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

\* 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).

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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