

# **CONTROL4 CORP**

Reported by  
**NOVAKOVICH MARK**

## **FORM 4**

(Statement of Changes in Beneficial Ownership)

Filed 01/08/18 for the Period Ending 01/04/18

Address	11734 SOUTH ELECTION ROAD SALT LAKE CITY, UT, 84020
Telephone	801-523-3100
CIK	0001259515
Symbol	CTRL
SIC Code	3670 - Electronic Components And Accessories
Industry	Household Electronics
Sector	Technology
Fiscal Year	12/31

# FORM 4

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

OMB APPROVAL  
OMB Number: 3235-0287  
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 or  
Section 30(h) of the Investment Company Act of 1940

<b>1. Name and Address of Reporting Person *</b>  <b>Novakovich Mark</b> (Last) (First) (Middle)  <b>11734 SOUTH ELECTION ROAD</b> (Street)  <b>SALT LAKE CITY, UT 84020</b> (City) (State) (Zip)	<b>2. Issuer Name and Ticker or Trading Symbol</b>  <b>CONTROL4 CORP [ CTRL ]</b>	<b>5. Relationship of Reporting Person(s) to Issuer</b> (Check all applicable)  <input type="checkbox"/> Director <span style="float:right">_____ 10% Owner</span> <input checked="" type="checkbox"/> <input type="checkbox"/> Officer (give title below) <span style="float:right">_____ Other (specify below)</span> <b>Chief Financial Officer</b>
<b>3. Date of Earliest Transaction (MM/DD/YYYY)</b>  <p align="center"><b>1/4/2018</b></p>		<b>6. Individual or Joint/Group Filing (Check Applicable Line)</b>  <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person
<b>4. If Amendment, Date Original Filed (MM/DD/YYYY)</b>		

**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			

**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	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Restricted Stock Units	(1)	1/4/2018		A		1050		(2)	(2)	Common Stock	1050	\$0	1050	D	
Restricted Stock Units	(1)	1/4/2018		A		12650		(3)	(3)	Common Stock	12650	\$0	12650	D	
Performance-based Restricted Stock units	(1)	1/4/2018		A		12650		(4)	(4)	Common Stock	12650	\$0	12650	D	
Performance-based Restricted Stock Units	(1)	1/4/2018		A		7100		(5)	(5)	Common Stock	7100	\$0	7100	D	

**Explanation of Responses:**

- (1) Each Unit represents the right to receive, at settlement, one share of common stock at no cost.
- (2) This RSU award was granted on January 4, 2018, and these shares will vest in full on February 15, 2019, subject to the reporting person's continuous service to the Issuer on each such date.
- (3) This RSU award was granted on January 4, 2018, and will vest as follows: 1/3 of the shares shall vest on February 15, 2019, 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 4, 2018, and upon the certification that certain 2018 financial performance goals were achieved, these shares will vest as follows: 1/3 of the shares shall vest on February 15, 2019, 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.
- (5) This PSU award was granted on January 4, 2018, and upon the certification that certain 2018 financial performance goals were achieved, these shares will vest in full on February 15, 2019, subject to the reporting person's continuous service to the Issuer on each such date.

**Reporting Owners**

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
<b>Novakovich Mark</b> <b>11734 SOUTH ELECTION ROAD</b> <b>SALT LAKE CITY, UT 84020</b>			<b>Chief Financial Officer</b>	

**Signatures**

/s/ Greg Bishop, Attorney in fact for Mark Novakovich

1/8/2018

—\*\*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.

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.