

CONTROL4 CORP  
Form 4  
January 05, 2016

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
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 \*  
Cashen Susan

(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 of Marketing

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 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.

**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 | 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 |
|---------------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|--|
|---------------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|--|

Edgar Filing: CONTROL4 CORP - Form 4

| (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 |
| Cashen Susan<br>C/O CONTROL4 CORPORATION<br>11734 S. ELECTION ROAD<br>SALT LAKE CITY, UT 84020 |               |           | SVP of Marketing |       |

## Signatures

/s/ Greg Bishop, Attorney in fact for Susan Cashen  
Date: 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.

(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 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.

(5) 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.

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

## Edgar Filing: CONTROL4 CORP - Form 4

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.