

Cashen Susan  
Form 4  
August 16, 2017

**FORM 4**

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

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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(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)  
08/15/2017

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
SVP of Marketing

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_X\_\_ 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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       | 08/15/2017                              |                                                             | M                                       | 1,417 A                                                                 | 1,417                                                                                                              | D                                                                    |                                                                   |
| Common<br>Stock                       | 08/15/2017                              |                                                             | F                                       | 533 <sup>(2)</sup> D                                                    | \$ 23.68 884                                                                                                       | D                                                                    |                                                                   |
| Common<br>Stock                       | 08/15/2017                              |                                                             | M                                       | 1,417 A                                                                 | 2,301                                                                                                              | D                                                                    |                                                                   |
| Common<br>Stock                       | 08/15/2017                              |                                                             | F                                       | 533 <sup>(3)</sup> D                                                    | \$ 23.68 1,768                                                                                                     | D                                                                    |                                                                   |
| Common<br>Stock                       |                                         |                                                             |                                         |                                                                         | 367                                                                                                                | I                                                                    | By 401(k)<br>Plan <sup>(6)</sup>                                  |

# Edgar Filing: Cashen Susan - Form 4

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<br>(Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed Execution Date, if any<br>(Month/Day/Year) | 4. Transaction Code<br>(Instr. 8) | 5. Number of Derivative Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date<br>(Month/Day/Year) |     | 7. Title and Amount of Underlying Security<br>(Instr. 3 and 4) |                 |              |                            |
|-----------------------------------------------|--------------------------------------------------------|-----------------------------------------|-------------------------------------------------------|-----------------------------------|--------------------------------------------------------------------------------------------------|-------------------------------------------------------------|-----|----------------------------------------------------------------|-----------------|--------------|----------------------------|
|                                               |                                                        |                                         |                                                       | Code                              | V                                                                                                | (A)                                                         | (D) | Date Exercisable                                               | Expiration Date | Title        | Amount or Number of Shares |
| Performance-based Restricted Stock Units      | <u>(1)</u>                                             | 08/15/2017                              |                                                       | M                                 |                                                                                                  | 1,417                                                       |     | <u>(4)</u>                                                     | <u>(4)</u>      | Common Stock | 1,417                      |
| Restricted Stock                              | <u>(1)</u>                                             | 08/15/2017                              |                                                       | M                                 |                                                                                                  | 1,417                                                       |     | <u>(5)</u>                                                     | <u>(5)</u>      | Common Stock | 1,417                      |

## 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 08/16/2017

\_\_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 unit represents the right to receive, at settlement, one share of common stock at no cost.

(2) The federal and state tax withholding due at the vesting of Performance-based Restricted Stock Units was satisfied by Control4 through a net issuance of these shares, which were retained by Control4 as treasury stock, and the requisite withholding amount was paid to the

## Edgar Filing: Cashen Susan - Form 4

relevant tax authorities by Control4 on behalf of the Reporting Person. We used the closing price of the shares on the day prior to the vest date for withholding calculations.

- (3) The federal and state tax withholding due at the vesting of Restricted Stock Units was satisfied by Control4 through a net issuance of these shares, which were retained by Control4 as treasury stock, and the requisite withholding amount was paid to the relevant tax authorities by Control4 on behalf of the Reporting Person. We used the closing price of the shares on the day prior to the vest date for withholding calculations.

- (4) This PSU award was granted on January 1, 2016. One-third of the shares in the award vested on February 10, 2017 due to the achievement of a certain 2016 financial performance goal. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of May, August, November and February in each of the following eight quarters.

- (5) This RSU award was granted on January 1, 2016. One-third of the shares in the award vested on February 10, 2017. The remaining shares vest as follows, an additional 1/12 of the shares vest quarterly, on the 15th of May, August, November and February in each of the following eight quarters.

- (6) Based on Reporting Person's 401(k) Plan Statement.

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.