

Novakovich Mark
Form 4
February 20, 2018

FORM 4

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

OMB APPROVAL

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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 *
Novakovich Mark

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)
11734 SOUTH ELECTION ROAD

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
02/20/2018

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Chief Financial Officer

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Common Stock | 02/20/2018 ⁽¹⁾ | | M | | \$ 6.34 47,235 | D | |
| Common Stock | 02/20/2018 ⁽¹⁾ | | S | | \$ 24.99 45,128 | D | |
| Common Stock | 02/20/2018 ⁽¹⁾ | | M | | \$ 6.14 47,332 | D | |
| Common Stock | 02/20/2018 ⁽¹⁾ | | S | | \$ 25.01 45,128 | D | |
| | 02/20/2018 ⁽¹⁾ | | S | | 21,137 | D | |

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| | | | | |
|--------------|---------------------------|---|--|------------------------------|
| Common Stock | \$ 24.97 <u>(4)</u> | | | |
| Common Stock | 496 | I | | By 401(k) Plan <u>(5)</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 (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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|--|--|---|-------------------------------|
| Stock Option (right to buy) | \$ 6.34 | 02/20/2018 | | M | 2,107 | <u>(6)</u> 12/28/2021 | Common Stock | 2,107 |
| Stock Option (right to buy) | \$ 6.14 | 02/20/2018 | | M | 2,204 | <u>(7)</u> 05/25/2021 | Common Stock | 2,204 |

Reporting Owners

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

Signatures

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

02/20/2018

__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 November 8, 2017.

This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$24.71 per share to \$25.29 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 \$24.71 per share to \$25.31 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.

(4) This price represents the weighted average sale price for various open-market sales through a broker-dealer ranging from \$24.71 per share to \$25.31 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.

(5) Based on the Reporting Person's most recent 401(k) Plan statement.

(6) Non-qualified Stock Options granted December 29, 2011, which vested over 4 years and are now fully vested and exercisable.

(7) Non-qualified Stock Options granted May 26, 2011, which vested over 4 years and are now fully vested and exercisable.

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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