

CONTROL4 CORP
Form 3
September 03, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â Novakovich Mark		(Month/Day/Year)	CONTROL4 CORP [CTRL]	
(Last)	(First)	(Middle)	08/25/2015	
11734 SOUTH ELECTION ROAD			4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
(Street)			(Check all applicable)	
SALT LAKE CITY,Â UTÂ 84020			<input type="checkbox"/> Director	<input type="checkbox"/> 10% Owner
(City)	(State)	(Zip)	<input checked="" type="checkbox"/> Officer	<input type="checkbox"/> Other
			(give title below)	(specify below)
			Chief Financial Officer	
				6. Individual or Joint/Group Filing(Check Applicable Line)
				<input checked="" type="checkbox"/> Form filed by One Reporting Person
				<input type="checkbox"/> Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

(Instr. 5)

Stock Option (Right to Buy)	Â <u>(1)</u>	05/25/2021	Common Stock	2,204	\$ 6.136	D	Â
Stock Option (Right to Buy)	Â <u>(2)</u>	12/28/2021	Common Stock	2,107	\$ 6.344	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	12/25/2022	Common Stock	7,011	\$ 9.932	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	02/28/2024	Common Stock	15,000	\$ 20.91	D	Â
Stock Option (Right to Buy)	Â <u>(5)</u>	12/31/2024	Common Stock	5,000	\$ 15.37	D	Â
Restricted Stock Units	Â <u>(6)</u>	Â <u>(6)</u>	Common Stock	16,000	\$ <u>(7)</u>	D	Â

Reporting Owners

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

Signatures

/s/ Mark
Novakovich

09/03/2015

**Signature of
Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on May 26, 2012 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- (2) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on December 29, 2012 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- (3) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on December 26, 2013 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- (4) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on February 28, 2015 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- (5) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option will vest on December 31, 2015 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- This restricted stock unit award was granted July 31, 2015 and will vest as follows: 50% on August 10, 2017 and 12.5% on each of
- (6) February 10, 2018, August 10, 2018, February 10, 2019 and August 10, 2019, subject to the reporting person's continuous service to the Issuer on each such dates.
- (7) Each restricted stock unit represents the right to receive, at settlement, one (1) share of common stock at no cost.

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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.