

ELLIS JOSHUA D.  
Form 3  
May 07, 2018

**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 <b>and</b> Ticker or Trading Symbol |  |
| Â ELLIS JOSHUA D.                         |         | (Month/Day/Year)                     | CONTROL4 CORP [CTRL]                               |  |
| (Last)                                    | (First) | (Middle)                             | 4. Relationship of Reporting Person(s) to Issuer   | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
|   |         | 05/01/2018                           |  |  |
| 11734 SOUTH ELECTION ROAD                 |         |                                      | (Check all applicable)                             |  |
| (Street)                                  |         |                                      | <input type="checkbox"/> Director                  | <input type="checkbox"/> 10% Owner                                     |
| DRAPER, Â UT Â 84020                      |         |                                      | <input checked="" type="checkbox"/> Officer        | <input type="checkbox"/> Other   |
| (City)                                    | (State) | (Zip)                                | (give title below)                                 | (specify below)  |
|   |         |                                      | General Counsel                                    |  |
|   |         |                                      |  | 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) |
|---------------------------------|---|--|---|
| Common Stock                    | 2,102   | D  | Â   |
| Common Stock                    | 430   | I  | By 401(k) Plan <sup>(1)</sup>                         |

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 | 5. Ownership Form of Derivative | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|------------------------------------|---------------------------------|---|
|--|--|---|------------------------------------|---------------------------------|---|

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|                             | Date Exercisable | Expiration Date | Title        | Amount or Number of Shares | Derivative Security | Security: Direct (D) or Indirect (I) (Instr. 5) |   |
|-----------------------------|------------------|-----------------|--------------|----------------------------|---------------------|---|---|
| Stock Option (Right to Buy) | Â (2)            | 03/23/2021      | Common Stock | 7,773                      | \$ 6.136            | D   | Â |
| Stock Option (Right to Buy) | Â (3)            | 12/27/2022      | Common Stock | 5,769                      | \$ 9.932            | D   | Â |
| Stock Option (Right to Buy) | Â (4)            | 02/27/2024      | Common Stock | 7,000                      | \$ 20.91            | D   | Â |
| Stock Option (Right to Buy) | Â (5)            | 12/30/2024      | Common Stock | 4,960                      | \$ 15.37            | D   | Â |
| Stock Option (Right to Buy) | Â (6)            | 12/30/2024      | Common Stock | 40                         | \$ 15.37            | D   | Â |
| Restricted Stock Units      | Â (7)            | Â (7)           | Common Stock | 2,250                      | \$ (12)             | D   | Â |
| Restricted Stock Units      | Â (8)            | Â (8)           | Common Stock | 2,400                      | \$ (12)             | D   | Â |
| Restricted Stock Units      | Â (9)            | Â (9)           | Common Stock | 3,734                      | \$ (12)             | D   | Â |
| Restricted Stock Units      | Â (10)           | Â (10)          | Common Stock | 2,000                      | \$ (12)             | D   | Â |
| Restricted Stock Units      | Â (11)           | Â (11)          | Common Stock | 2,000                      | \$ (12)             | D   | Â |

## Reporting Owners

| Reporting Owner Name / Address                                   | Relationships |           |                   |       |
|--|---------------|-----------|-------------------|-------|
|  | Director      | 10% Owner | Officer           | Other |
| ELLIS JOSHUA D.<br>11734 SOUTH ELECTION ROAD<br>DRAPER, UT 84020 | Â             | Â         | Â General Counsel | Â     |

## Signatures

/s/ Jonathan Tanner, attorney-in-fact for Joshua D. Ellis

05/07/2018

\_\_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) Based on the Reporting Person's most recent 401(k) Plan statement.
- (2) Incentive Stock Options granted March 24, 2011 that vest over four years.

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- (3) Incentive Stock Options granted December 28, 2012 that vest over four years.
- (4) Incentive Stock Options granted February 28, 2014 that vest over four years.
- (5) Incentive Stock Options granted December 31, 2014 that vest over four years.
- (6) Non-qualified Stock Options granted December 31, 2014 that vest over four years.
- (7) This RSU award was granted on July 31, 2015. One-half of the shares in the award vested on August 10, 2017. The remaining shares vest as follows, an additional 1/8 of the shares vest semiannually, on the 15th of February and August in each of the following 2 years.  
This RSU was granted January 29, 2016. One-third of the shares in the award will vest 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.
- (8) This RSU was granted January 3, 2017. One-third of the shares in the award will vest on February 15, 2018. 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.
- (9) This RSU was granted January 4, 2018. One-third of the shares in the award will vest on February 15, 2019. 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.
- (10) This RSU was granted March 1, 2018. One-third of the shares in the award will vest on February 15, 2019. 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.
- (11) Each RSU represents the right to receive, at settlement, one (1) share of common stock at no cost.
- (12) Each RSU represents the right to receive, at settlement, one (1) share of common stock at no cost.

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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