

CONTROL4 CORP
Form 8-K
May 03, 2018

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

FORM 8-K

CURRENT REPORT

Pursuant to Section 13 or 15(d) of the
Securities Exchange Act of 1934

Date of Report (Date of earliest event reported): **May 1, 2018**

Control4 Corporation

(Exact name of registrant as specified in its charter)

Delaware
(State or other jurisdiction of
incorporation)

001-36017
(Commission
File Number)

42-1583209
(I.R.S. Employer
Identification No.)

11734 S. Election Road

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Salt Lake City, Utah 84020

(Address of principal executive offices) (Zip Code)

(801) 523-3100

(Registrant's telephone number, including area code)

Not applicable

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- ☐ Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- ☐ Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- ☐ Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- ☐ Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company ☒ X

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act. ☒ X

Item 2.02 Results of Operations and Financial Condition.

On May 3, 2018, Control4 Corporation (the Company) issued a press release announcing unaudited financial results for its quarter ended March 31, 2018. A copy of the press release is attached as Exhibit 99.1.

In accordance with General Instruction B.2 on Form 8-K, certain of the information in this Current Report on Form 8-K, including Exhibit 99.1, is being furnished under Item 2.02 and shall not be deemed filed for the purposes of Section 18 of the Securities Exchange Act of 1934 (Exchange Act) or otherwise subject to the liability of that section, nor shall such information be deemed incorporated by reference in any filing under the Securities Act of 1933 or the Exchange Act, regardless of the general incorporation language of such filing, except as shall be expressly set forth by specific reference in such filing.

Item 5.07 Submission of Matters to a Vote of Security Holders.

The Company's annual meeting of stockholders was held on May 1, 2018 (the Annual Meeting). The total number of outstanding shares entitled to vote as of March 8, 2018, the record date for the annual meeting, was 26,020,906. According to the inspector of elections, the stockholders present in person or by proxy represented 23,548,831 shares of common stock (entitled to one vote per share). The number of votes cast for, against or withheld, as well as the number of abstentions and broker non-votes with respect to each proposal voted upon at the Annual Meeting are set forth below.

Proposal 1 Election of directors. The stockholders voted on the election of three Class II directors of the Company, each to serve for a three-year term expiring at the Company's annual meeting of stockholders in 2021 and until such director's successor is elected or until such director's earlier resignation or removal. Stockholders voted as follows:

| | For | Withheld | Broker Non-Votes |
|-----------------------------------|------------|----------|---------------------|
| <i>Class II Director Nominees</i> | | | |
| Rob Born | 16,679,427 | 237,794 | 6,631,610 |
| James Caudill | 16,687,429 | 229,792 | 6,631,610 |
| Jeremy Jaech | 16,726,709 | 190,512 | 6,631,610 |

Accordingly, the foregoing nominees were elected as Class II directors to the Company's board of directors.

Proposal 2 Ratification of the appointment of an independent registered public accounting firm. The stockholders voted on the ratification of the appointment of Ernst & Young LLP as the Company's independent registered public accounting firm for the year ending December 31, 2018. Stockholders voted as follows:

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| For | Against | Abstain | Broker Non-Votes |
|------------|---------|---------|---------------------|
| 22,907,744 | 618,104 | 22,983 | 0 |

Accordingly, the appointment of the independent registered public accounting firm was ratified.

Item 9.01 Financial Statements and Exhibits.

(d) Exhibits.

| Exhibit No. | Description of Exhibits |
|-------------|---------------------------------|
| 99.1 | Press release dated May 3, 2018 |

EXHIBIT INDEX

| Exhibit No. | | Description of Exhibits |
|--------------------|--|--------------------------------|
| 99.1 | <u>Press release dated May 3, 2018</u> | |
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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Date: May 3, 2018

CONTROL4 CORPORATION

By: /s/ Mark Novakovich
Mark Novakovich
Chief Financial Officer