

CONTROL4 CORP  
Form 3  
August 01, 2013

**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 \*

Â Dungan Jefferson  
(Last) (First) (Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)  
08/01/2013

3. Issuer Name and Ticker or Trading Symbol  
CONTROL4 CORP [CTRL]

4. Relationship of Reporting Person(s) to Issuer

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

C/O CONTROL4 CORPORATION,Â 11734 S. ELECTION ROAD

(Street)

SALT LAKE CITY,Â UTÂ 84020

(City) (State) (Zip)

(Check all applicable)

Director  10% Owner  
 Officer  Other  
(give title below) (specify below)  
SVP Bus. Development

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 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)

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)

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Date Exercisable Date Expiration Date

Title Amount or Number of

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|                             |       |            |              | Shares |          | or Indirect<br>(I)<br>(Instr. 5) |   |
|-----------------------------|-------|------------|--------------|--------|----------|----------------------------------|---|
| Stock Option (right to buy) | Â (1) | 09/20/2016 | Common Stock | 48,076 | \$ 2.496 | D                                | Â |
| Stock Option (right to buy) | Â (2) | 12/10/2017 | Common Stock | 4,807  | \$ 3.588 | D                                | Â |
| Stock Option (right to buy) | Â (3) | 12/18/2018 | Common Stock | 4,807  | \$ 4.888 | D                                | Â |
| Stock Option (right to buy) | Â (4) | 01/14/2020 | Common Stock | 9,615  | \$ 4.888 | D                                | Â |
| Stock Option (right to buy) | Â (5) | 07/08/2020 | Common Stock | 38,460 | \$ 7.488 | D                                | Â |
| Stock Option (right to buy) | Â (6) | 05/25/2021 | Common Stock | 9,615  | \$ 6.136 | D                                | Â |
| Stock Option (right to buy) | Â (7) | 12/28/2021 | Common Stock | 4,807  | \$ 6.344 | D                                | Â |
| Stock Option (right to buy) | Â (8) | 09/27/2022 | Common Stock | 19,230 | \$ 9.152 | D                                | Â |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                           |       |
|--|---------------|-----------|---------------------------|-------|
|  | Director      | 10% Owner | Officer                   | Other |
| Dungan Jefferson<br>C/O CONTROL4 CORPORATION<br>11734 S. ELECTION ROAD<br>SALT LAKE CITY, UT 84020 | Â             | Â         | Â SVP Bus.<br>Development | Â     |

## Signatures

/s/ Jefferson  
Dungan

08/01/2013

\*\*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 August 14, 2007 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 11, 2008 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 19, 2009 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)

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The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on January 1, 2011 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 vested on May 30, 2011 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- (6) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on January 1, 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.
- (7) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on December 21, 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.
- (8) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vest on September 28, 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.

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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