

CONTROL4 CORP
Form 4
August 07, 2013

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Born Robert

(Last) (First) (Middle)

C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD

(Street)

SALT LAKE CITY, UT 84020

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
08/07/2013

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)

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 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 or Disposed of (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)		
				(A) or (D)	Price				
				Code	V	Amount			
Common Stock	08/07/2013		C	24,031	A	Ⓛ	24,031	I	By Thomas Weisel Venture Partners Employee Fund, L.P. (2)
Common Stock	08/07/2013		C	2,896,199	A	Ⓛ	2,896,199	I	By Thomas Weisel

Venture Partners, L.P. ⁽³⁾

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	5. Number of Derivative Securities		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		
					Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Date Exercisable	Expiration Date			
				Code	V	(A)	(D)		Title	Amount Number Shares	
Series A Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C		7,212		<u>(1)</u>	<u>(1)</u>	Common Stock	7,212
Series A Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C		858,172		<u>(1)</u>	<u>(1)</u>	Common Stock	858,172
Series B Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C		9,838		<u>(1)</u>	<u>(1)</u>	Common Stock	9,838
Series B Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C		1,172,865		<u>(1)</u>	<u>(1)</u>	Common Stock	1,172,865

Series C Convertible Preferred Stock	<u>(1)</u>	08/07/2013	C	2,959	<u>(1)</u>	<u>(1)</u>	Common Stock	2,959
Series C Convertible Preferred Stock	<u>(1)</u>	08/07/2013	C	366,996	<u>(1)</u>	<u>(1)</u>	Common Stock	366,996
Series D Convertible Preferred Stock	<u>(1)</u>	08/07/2013	C	2,450	<u>(1)</u>	<u>(1)</u>	Common Stock	2,450
Series D Convertible Preferred Stock	<u>(1)</u>	08/07/2013	C	303,921	<u>(1)</u>	<u>(1)</u>	Common Stock	303,921
Series E Convertible Preferred Stock	<u>(1)</u>	08/07/2013	C	702	<u>(1)</u>	<u>(1)</u>	Common Stock	702
Series E Convertible Preferred Stock	<u>(1)</u>	08/07/2013	C	87,109	<u>(1)</u>	<u>(1)</u>	Common Stock	87,109
Series G Convertible Preferred Stock	<u>(1)</u>	08/07/2013	C	870	<u>(1)</u>	<u>(1)</u>	Common Stock	870

