

CONTROL4 CORP

Form 3

August 01, 2013

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

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIESFiled 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 Strong Dan

(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 Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

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

Chief Financial Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting PersonC/O CONTROL4
CORPORATION,Â 11734 S.
ELECTION ROAD

(Street)

SALT LAKE
CITY,Â UTÂ 84020

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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)

**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.****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)Date
ExercisableExpiration
Date3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

Amount or
Number of4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

Edgar Filing: CONTROL4 CORP - Form 3

				Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â (1)	01/30/2018	Common Stock	110,107	\$ 4.784	D	Â
Stock Option (right to buy)	Â (2)	03/18/2019	Common Stock	9,614	\$ 4.888	D	Â
Stock Option (right to buy)	Â (3)	01/14/2020	Common Stock	38,919	\$ 4.888	D	Â
Stock Option (right to buy)	Â (4)	05/25/2021	Common Stock	14,422	\$ 6.136	D	Â
Stock Option (right to buy)	Â (5)	12/28/2021	Common Stock	49,999	\$ 6.344	D	Â
Stock Option (right to buy)	Â (4)	05/25/2021	Common Stock	14,422	\$ 6.136	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Strong Dan C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020	Â	Â	Â Chief Financial Officer	Â

Signatures

/s/ Dan Strong 08/01/2013

 Date

**Signature of Reporting Person

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 January 4, 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.
- (2) 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.
- (3) 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.
- (4) 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.
- (5) 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.

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.