

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 *

CASHEN Susan

(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)

(Check all applicable)

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

SVP of Marketing

C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD

(Street)

SALT LAKE CITY, UT 84020

(City)

(State)

(Zip)

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)

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 Exercisable

Expiration Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title

Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. 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)	08/31/2019	Common Stock	45,192	\$ 4.888	D	Â
Stock Option (right to buy)	Â (2)	01/14/2020	Common Stock	1,923	\$ 4.888	D	Â
Stock Option (right to buy)	Â (3)	07/08/2020	Common Stock	19,230	\$ 7.488	D	Â
Stock Option (right to buy)	Â (4)	05/25/2021	Common Stock	11,537	\$ 6.136	D	Â
Stock Option (right to buy)	Â (5)	12/28/2021	Common Stock	7,692	\$ 6.344	D	Â
Stock Option (right to buy)	Â (6)	12/25/2022	Common Stock	9,614	\$ 9.932	D	Â
Stock Option (right to buy)	Â (7)	06/10/2023	Common Stock	15,384	\$ 11.284	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cashen Susan C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020	Â	Â	Â SVP of Marketing	Â

Signatures

/s/ Susan Cashen 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 July 1, 2010 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 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.
- (3) 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.
- (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.

Edgar Filing: CONTROL4 CORP - Form 3

- (6) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vest on December 27, 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.
- (7) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vest on June 11, 2014 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.