

CONTROL4 CORP

Form 4

August 07, 2013

FORM 4
UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Petty Scott

(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 (A) or Disposed of (D) (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)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	08/07/2013		C		1,973,134	A	<u>11</u>	1,973,134	I	By vSpring SBIC, L.P. ⁽²⁾
Common Stock	08/07/2013		C		63,542	A	<u>11</u>	63,542	I	By vSpring III D, L.P. ⁽³⁾
Common Stock	08/07/2013		C		226,819	A	<u>11</u>	226,819	I	By vSpring III, L.P.

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Common Stock	08/07/2013	C	1,256	A	<u>(1)</u>	1,256	I	(4) By vSpring Partners III, L.P. (5)
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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 (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Series A Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C	692,307	<u>(1)</u> <u>(1)</u>	Common Stock 692,307
Series B Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C	871,652	<u>(1)</u> <u>(1)</u>	Common Stock 871,652
Series C Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C	282,505	<u>(1)</u> <u>(1)</u>	Common Stock 282,505
Series D Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C	94,268	<u>(1)</u> <u>(1)</u>	Common Stock 94,268
Series G Convertible Preferred Stock	<u>(1)</u>	08/07/2013		C	63,542	<u>(1)</u> <u>(1)</u>	Common Stock 63,542
Series G Convertible	<u>(1)</u>	09/07/2013		C	226,819	<u>(1)</u> <u>(1)</u>	Common Stock 226,819

Preferred
Stock

Series G
Convertible
Preferred
Stock

(1)

08/07/2013

C

1,256

(1)

(1)

Common
Stock

1,256

Series G
Convertible
Preferred
Stock

(1)

08/07/2013

C

32,402

(1)

(1)

Common
Stock

32,402

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Petty Scott C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020	X	X		

Signatures

/s/ Scott Petty

08/07/2013

**Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(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) Each share of Issuer's Preferred Preferred Stock automatically converted into Common Stock on a 1-for-1 basis immediately prior to the closing of the Issuer's initial public offering and has no expiration date.

These shares are owned directly by vSpring SBIC, L.P. ("vSpring SBIC"), whose sole general partner is vSpring SBIC Management, L.L.C. ("vSpring SBIC Management"). Scott Petty is a managing member of vSpring SBIC Management. The reporting person disclaims

- (2) beneficial ownership of these securities, except to the extent of his pecuniary interest therein, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for Section 16 or any other purpose. Scott Petty is a director of Issuer.

These shares are owned directly by vSpring III D, L.P. ("vSpring III D"), whose sole general partner is vSpring Management III D, L.L.C. ("vSpring Management III D"). Scott Petty is a managing member of vSpring Management III D. The reporting person disclaims

- (3) beneficial ownership of these securities, except to the extent of his pecuniary interest therein, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for Section 16 or any other purpose. Scott Petty is a director of Issuer.

These shares are owned directly by vSpring III, L.P. ("vSpring III"), whose sole general partner is vSpring Management III, L.L.C.

- (4) ("vSpring Management III"). Scott Petty is a managing member of vSpring Management III. The reporting person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for Section 16 or any other purpose. Scott Petty is a director of Issuer.

These shares are owned directly by vSpring Partners III, L.P. ("vSpring Partners III"), whose sole general partner is vSpring Management III. Scott Petty is a managing member of vSpring Management III. The reporting person disclaims beneficial ownership of these

- (5) securities, except to the extent of his pecuniary interest therein, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for Section 16 or any other purpose. Scott Petty is a director of Issuer.

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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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