

CONTROL4 CORP
Form 4
March 07, 2014

FORM 4

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

OMB APPROVAL

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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 *
Petty Scott

(Last) (First) (Middle)

C/O CONTROL4 CORPORATION, 11734 S. ELECTION ROAD

(Street)

SALT LAKE CITY, UT 842020

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
03/05/2014

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 Ownership (Instr. 4)		
			Code	V	Amount	(A) or (D)	Price		
Common Stock	03/05/2014		J ⁽⁹⁾		794,102	D	\$ 0 1,179,032	I	See Footnote (4)
Common Stock	03/05/2014		J ⁽⁹⁾		794,102	A	\$ 0 794,102	I	See Footnote (5)
Common Stock	03/05/2014		J ⁽¹⁰⁾		786,161	D	\$ 0 7,914	I	See Footnote (5)
Common	03/05/2014		J ⁽¹⁰⁾		7,914	D	\$ 0 0	I	See

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Stock								Footnote <u>(5)</u>
Common Stock	03/05/2014	<u>J(10)</u>	7,914	A	\$ 0	7,914	I	See Footnote <u>(6)</u>
Common Stock	03/05/2014	<u>J(11)</u>	4,260	D	\$ 0	3,687	I	See Footnote <u>(6)</u>
Common Stock	03/05/2014	<u>J(11)</u>	1,324	A	\$ 0	1,324	D	
Common Stock	03/05/2014	<u>J(9)</u>	102,074	D	\$ 0	1,076,958	I	See Footnote <u>(4)</u>
Common Stock	03/05/2014	<u>J(9)</u>	102,074	A	\$ 0	102,074	I	See Footnote <u>(7)</u>
Common Stock	03/05/2014	<u>J(12)</u>	102,074	D	\$ 0	0	I	See Footnote <u>(7)</u>
Common Stock	03/05/2014	<u>J(12)</u>	11,401	A	\$ 0	12,725	D	
Common Stock	03/05/2014	<u>J(9)</u>	1,732	D	\$ 0	1,075,226	I	See Footnote <u>(4)</u>
Common Stock	03/05/2014	<u>J(9)</u>	1,732	A	\$ 0	1,732	I	See Footnote <u>(8)</u>
Common Stock	03/05/2014	<u>J(13)</u>	618	D	\$ 0	1,114	I	See Footnote <u>(8)</u>
Common Stock	03/05/2014	<u>J(13)</u>	206	A	\$ 0	12,931	D	
Common Stock						149,039	I	See Footnote <u>(1)</u>
Common Stock						41,752	I	See Footnote <u>(2)</u>
Common Stock						826	I	See Footnote <u>(3)</u>

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reporting Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

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 842020		X		

Signatures

/s/ Scott Petty 03/07/2014
 **Signature of Date
 Reporting Person

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) These shares are held by vSpring III, L.P. ("vSpring III"), of which vSpring Management III, L.L.C. ("vSpring Management III") is the sole general partner and exercises voting and investment power over these shares. The reporting person 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.
 - (2) These shares are held by vSpring III D, L.P. ("vSpring III D"), of which vSpring Management III D, L.L.C. ("vSpring Management III D") is the sole general partner and exercises voting and investment power over these shares. The reporting person is a managing member of vSpring Management III D. The reporting person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein.
 - (3)

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These shares are held by vSpring Partners III, L.P. ("vSpring Partners"), of which vSpring Management III is the sole general partner and exercises voting and investment power over these shares. The reporting person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein.

- (4) These shares are held by vSpring SBIC, L.P. ("vSpring SBIC"), of which vSpring SBIC Management, L.L.C. ("vSpring SBIC Management") is the sole general partner and exercises voting and investment power over these shares. The reporting person is a managing member of vSpring SBIC Management. The reporting person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein.
- (5) These shares are held by vSpring, L.P. ("vSpring"), of which vSpring Management, L.L.C. ("vSpring Management") is the sole general partner and exercises voting and investment power over these shares. The reporting person is a managing member of vSpring Management. The reporting person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein.
- (6) These shares are held by vSpring Management. The reporting persons disclaim beneficial ownership of these securities, except to the extent of his pecuniary interest therein.
- (7) These shares are held by vSpring Partners, L.P. ("vSpring Partners"), of which vSpring Management is the sole general partner and exercises voting and investment power over these shares. The reporting person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein.
- (8) These shares are held by vSpring SBIC Management. The reporting persons disclaim beneficial ownership of these securities, except to the extent of his pecuniary interest therein.
- (9) Represents a change in the form of beneficial ownership by virtue of an in-kind distribution of Common Stock of the Issuer by vSpring SBIC to its limited partners.
- (10) Represents a change in the form of beneficial ownership by virtue of an in-kind distribution of Common Stock of the Issuer by vSpring to its limited partners.
- (11) Represents a change in the form of beneficial ownership from by virtue of an in-kind distribution of Common Stock of the Issuer by vSpring Management to its members.
- (12) Represents a change in the form of beneficial ownership by virtue of an in-kind distribution of Common Stock of the Issuer by vSpring Partners to its limited partners.
- (13) Represents a change in the form of beneficial ownership by virtue of an in-kind distribution of Common Stock of the Issuer by vSpring SBIC Management to its members.

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.