

CONTROL4 CORP  
Form 4  
March 07, 2014

**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 \*  
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 <sup>(9)</sup>               |   | 794,102   | D  | \$ 0 1,179,032                    | I | See Footnote (4) |
| Common Stock                    | 03/05/2014                           |  | J <sup>(9)</sup>               |   | 794,102   | A  | \$ 0 794,102                      | I | See Footnote (5) |
| Common Stock                    | 03/05/2014                           |  | J <sup>(10)</sup>              |   | 786,161   | D  | \$ 0 7,914                        | I | See Footnote (5) |
| Common                          | 03/05/2014                           |  | J <sup>(10)</sup>              |   | 7,914   | D  | \$ 0 0                            | I | See              |

Edgar Filing: CONTROL4 CORP - Form 4

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

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 (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 Owned Following Transaction (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
|  |  |                                      |  | 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<br>C/O CONTROL4 CORPORATION<br>11734 S. ELECTION ROAD<br>SALT LAKE CITY, UT 842020 |               | X         |         |       |

## Signatures

/s/ Scott Petty 03/07/2014

\*\*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) 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)

## Edgar Filing: CONTROL4 CORP - Form 4

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.