

CONTROL4 CORP
Form 3
August 01, 2013

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

OMB APPROVAL

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INITIAL STATEMENT OF 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)

<p>1. Name and Address of Reporting Person *</p> <p>^ Petty Scott</p> <p>(Last) (First) (Middle)</p> <p>C/O CONTROL4 CORPORATION, ^ 11734 S. ELECTION ROAD</p> <p>(Street)</p> <p>SALT LAKE CITY, ^ UT ^ 84020</p> <p>(City) (State) (Zip)</p>	<p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>08/01/2013</p>	<p>3. Issuer Name and Ticker or Trading Symbol</p> <p>CONTROL4 CORP [CTRL]</p>	<p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> 10% Owner <input type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below)</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person</p>
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Table I - Non-Derivative Securities Beneficially Owned

<p>1. Title of Security (Instr. 4)</p>	<p>2. Amount of Securities Beneficially Owned (Instr. 4)</p>	<p>3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)</p>	<p>4. Nature of Indirect Beneficial Ownership (Instr. 5)</p>
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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)

<p>1. Title of Derivative Security (Instr. 4)</p>	<p>2. Date Exercisable and Expiration Date (Month/Day/Year)</p> <p>Date Exercisable Expiration Date</p>	<p>3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)</p> <p>Title Amount or Number of</p>	<p>4. Conversion or Exercise Price of Derivative Security</p>	<p>5. Ownership Form of Derivative Security: Direct (D)</p>	<p>6. Nature of Indirect Beneficial Ownership (Instr. 5)</p>
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				Shares		or Indirect (1) (Instr. 5)	
Series A Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	692,307	\$ (1)	I	By vSpring SBIC, L.P. (2)
Series B Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	871,652	\$ (1)	I	By vSpring SBIC, L.P. (2)
Series C Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	282,505	\$ (1)	I	By vSpring SBIC, L.P. (2)
Series D Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	94,268	\$ (1)	I	By vSpring SBIC, L.P. (2)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	63,542	\$ (1)	I	By vSpring III D, L.P. (3)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	226,819	\$ (1)	I	By vSpring III, L.P. (4)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	1,256	\$ (1)	I	By vSpring Partners III, L.P. (5)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	32,402	\$ (1)	I	By vSpring SBIC, L.P. (2)

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	Â X	Â X	Â	Â

Signatures

/s/ Scott Petty 08/01/2013
 **Signature of Date
 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) Each share of Issuer's Preferred Stock automatically converts 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.

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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. ("vSpring Management III"). Scott Petty is a managing member of vSpring Management III. The reporting person disclaims beneficial

(4) 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, L.L.C. ("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.

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.