

CONTROL4 CORP  
Form 3  
August 01, 2013

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

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

**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)

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

**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) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|  | Date Exercisable   | Expiration Date   | Title  | Amount or Number of                                  |   |

Edgar Filing: CONTROL4 CORP - Form 3

|                                      |       |       |              | Shares    |        | or Indirect<br>(1)<br>(Instr. 5) |   |
|--------------------------------------|-------|-------|--------------|-----------|--------|----------------------------------|---|
| Series A Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 7,212     | \$ (1) | I                                | By Thomas Weisel Venture Partners Employee Fund, L.P. (2) |
| Series A Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 858,172   | \$ (1) | I                                | By Thomas Weisel Venture Partners, L.P. (3)               |
| Series B Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 9,838     | \$ (1) | I                                | By Thomas Weisel Venture Partners Employee Fund, L.P. (2) |
| Series B Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 1,172,865 | \$ (1) | I                                | By Thomas Weisel Venture Partners, L.P. (3)               |
| Series C Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 2,959     | \$ (1) | I                                | By Thomas Weisel Venture Partners Employee Fund, L.P. (2) |
| Series C Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 366,996   | \$ (1) | I                                | By Thomas Weisel Venture Partners, L.P. (3)               |
| Series D Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 2,450     | \$ (1) | I                                | By Thomas Weisel Venture Partners Employee Fund, L.P. (2) |
| Series D Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 303,921   | \$ (1) | I                                | By Thomas Weisel Venture Partners, L.P. (3)               |
| Series E Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 702       | \$ (1) | I                                | By Thomas Weisel Venture Partners Employee Fund, L.P. (2) |
| Series E Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 87,109    | \$ (1) | I                                | By Thomas Weisel Venture Partners, L.P. (3)               |
| Series G Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 870       | \$ (1) | I                                | By Thomas Weisel Venture Partners                         |

|                                      |       |       |              |         |        |   |  |
|--------------------------------------|-------|-------|--------------|---------|--------|---|--|
| Series G Convertible Preferred Stock | Â (1) | Â (1) | Common Stock | 107,136 | \$ (1) | I | Employee Fund, L.P. (2)<br>By Thomas Weisel Venture Partners, L.P. (3) |
|--------------------------------------|-------|-------|--------------|---------|--------|---|--|

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| Born Robert<br>C/O CONTROL4 CORPORATION<br>11734 S. ELECTION ROAD<br>SALT LAKE CITY, UT 84020 | Â X           | Â X       | Â       | Â     |

## Signatures

/s/ Robert Born 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) 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 Thomas Weisel Venture Partners Employee Fund, L.P. ("TWVP Employee Fund"), whose sole general partner is Thomas Weisel Capital Management LLC. Robert Born is a fund manager for TWVP Employee Fund. 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. Robert Born is a director of Issuer.
- (2) These shares are owned directly by Thomas Weisel Venture Partners, L.P. ("TWVP "), whose sole general partner is Thomas Weisel Venture Partners LLC. Robert Born is a fund manager for TWVP. 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. Robert Born is a director of Issuer.
- (3) These shares are owned directly by Thomas Weisel Venture Partners, L.P. ("TWVP "), whose sole general partner is Thomas Weisel Venture Partners LLC. Robert Born is a fund manager for TWVP. 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. Robert Born 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.