

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)

| | | | | |
|---|---------|---|--|---|
| 1. Name and Address of Reporting Person * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â Dungan Jefferson | | (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) | |
| SALT LAKE CITY,Â UTÂ 84020 | | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) SVP Bus. Development | | 6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person |
| (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)

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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 | | | |

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| | | | | Shares | | or Indirect (I) (Instr. 5) | |
|-----------------------------|-------|------------|--------------|--------|----------|----------------------------------|---|
| Stock Option (right to buy) | Â (1) | 09/20/2016 | Common Stock | 48,076 | \$ 2.496 | D | Â |
| Stock Option (right to buy) | Â (2) | 12/10/2017 | Common Stock | 4,807 | \$ 3.588 | D | Â |
| Stock Option (right to buy) | Â (3) | 12/18/2018 | Common Stock | 4,807 | \$ 4.888 | D | Â |
| Stock Option (right to buy) | Â (4) | 01/14/2020 | Common Stock | 9,615 | \$ 4.888 | D | Â |
| Stock Option (right to buy) | Â (5) | 07/08/2020 | Common Stock | 38,460 | \$ 7.488 | D | Â |
| Stock Option (right to buy) | Â (6) | 05/25/2021 | Common Stock | 9,615 | \$ 6.136 | D | Â |
| Stock Option (right to buy) | Â (7) | 12/28/2021 | Common Stock | 4,807 | \$ 6.344 | D | Â |
| Stock Option (right to buy) | Â (8) | 09/27/2022 | Common Stock | 19,230 | \$ 9.152 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Dungan Jefferson C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020 | Â | Â | Â SVP Bus. Development | Â |

Signatures

/s/ Jefferson
Dungan

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) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on August 14, 2007 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
 - (2) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on December 11, 2008 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
 - (3) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on December 19, 2009 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
 - (4)

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The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on January 1, 2011 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.

- (5) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on May 30, 2011 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- (6) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on January 1, 2012 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- (7) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on December 21, 2012 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.
- (8) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vest on September 28, 2013 and 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date.

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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