

CONTROL4 CORP  
Form 4  
August 09, 2013

**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 \*  
CISCO SYSTEMS, INC.

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
170 WEST TASMAN DR  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
08/07/2013

\_\_\_\_ Director  10% Owner  
\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

SAN JOSE, CA 95134-1706

4. If Amendment, Date Original Filed (Month/Day/Year)

6. Individual or Joint/Group Filing (Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount or (D) Price   |  |  |
| Common Stock                    | 08/07/2013                           |  | C                              |   | 1,510,981<br>(1)  | A  | (1)  |
| Common Stock                    | 08/07/2013                           |  | X                              |   | \$ 402,928<br>(2)   | A  | 9.9273<br>(2)                              |
| Common Stock                    | 08/07/2013                           |  | S                              | (2)   | 250,000<br>(2)  | D  | \$ 16 (2)                                  |
| Common Stock                    | 08/07/2013                           |  | X                              |   | \$ 67,154 (3)   | A  | 9.9273<br>(3)                              |
| Common Stock                    | 08/07/2013                           |  | S                              | (3)   | 41,667 (3)  | D  | \$ 16 (3)                                  |

Stock

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

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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) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable Expiration Date                         | Title Amount of Number of Shares                              |
| Series H Preferred Stock                   | (1)  | 08/07/2013                           |  | C                              | 1,510,981 (1)   | (1) (4)  | Common Stock 1,510,981 (1)                                    |
| Common Stock Warrant (right to buy)        | \$ 9.9273 (2)  | 08/07/2013                           |  | X                              | 402,928 (2)   | 01/21/2011 (5)   | Common Stock 402,928 (2)                                      |
| Common Stock Warrant (right to buy)        | \$ 9.9273 (3)  | 08/07/2013                           |  | X                              | 67,154 (3)  | 02/15/2011 (6)   | Common Stock 67,154   |

## Reporting Owners

| Reporting Owner Name / Address                                       | Relationships |           |         |       |
|--|---------------|-----------|---------|-------|
|  | Director      | 10% Owner | Officer | Other |
| CISCO SYSTEMS, INC.<br>170 WEST TASMAN DR<br>SAN JOSE, CA 95134-1706 |               |           | X       |       |

## Signatures

Cisco Systems, Inc. By: /s/ Evan Sloves, Assistant Secretary 08/09/2013

\_\_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) On August 7, 2013, effective immediately prior to the closing of the Issuer's initial public offering, each share of Series H Preferred Stock automatically converted into one share of Issuer's Common Stock for no additional consideration. The Series H Preferred Stock had no expiration date.

(2) On August 7, 2013, Reporting Person exercised a warrant to purchase 402,928 shares of Issuer's Common Stock for \$9.9273 per share. Reporting Person paid the exercise price on a cashless basis, based on Issuer's initial offering price of \$16.00 per share, resulting in the Issuer's withholding of 250,000 of the warrant shares to pay the exercise price and issuing to Reporting Person the remaining 152,928 shares.

(3) On August 7, 2013, Reporting Person exercised a warrant to purchase 67,154 shares of Issuer's Common Stock for \$9.9273 per share. Reporting Person paid the exercise price on a cashless basis, based on Issuer's initial offering price of \$16.00 per share, resulting in the Issuer's withholding of 41,667 of the warrant shares to pay the exercise price and issuing to Reporting Person the remaining 25,487 shares.

(4) None.

(5) This warrant expires upon the earlier of (i) an initial public offering of the Issuer's securities, or (ii) January 21, 2014.

(6) This warrant expires upon the earlier of (i) an initial public offering of the Issuer's securities, or (ii) February 15, 2014.

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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