

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>Â Vassallo Steven</p> <p>(Last) (First) (Middle)</p> <p>C/O FOUNDATION CAPITAL,Â 250 MIDDLEFIELD ROAD</p> <p>(Street)</p> <p>MENLO PARK,Â CAÂ 94025</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

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)
Common Stock	18,920	I	By: Foundation Capital IV, L.P. (2)
Common Stock	149	I	By: FC IV Active Advisors Fund, LLC (2)
Common Stock	160	I	By: Foundation Capital IV Principals Fund, LLC (2)

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) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Series C Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	1,770,469	\$ (1)	I	By: Foundation Capital IV, L.P. (2)
Series C Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	13,981	\$ (1)	I	By: FC IV Active Advisors Fund, LLC (2)
Series C Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	15,025	\$ (1)	I	By: Foundation Capital IV Principals Fund, LLC (2)
Series D Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	890,389	\$ (1)	I	By: Foundation Capital IV, L.P. (2)
Series D Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	7,031	\$ (1)	I	By: FC IV Active Advisors Fund, LLC (2)
Series D Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	7,556	\$ (1)	I	By: Foundation Capital IV Principals Fund, LLC (2)
Series E Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	863,962	\$ (1)	I	By: Foundation Capital IV, L.P. (2)
Series E Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	6,822	\$ (1)	I	By: FC IV Active Advisors Fund, LLC (2)
Series E Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	7,332	\$ (1)	I	By: Foundation Capital IV Principals Fund, LLC (2)
Series F Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	1,132,980	\$ (1)	I	By: Foundation Capital IV, L.P. (2)
Series F Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	8,947	\$ (1)	I	By: FC IV Active Advisors Fund, LLC (2)
Series F Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	9,615	\$ (1)	I	By: Foundation Capital IV Principals Fund,

Series	Class	Shares	Value	Category	Holder
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock 79,699	\$ (1)	I By: Foundation Capital IV, L.P. (2)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock 629	\$ (1)	I By: FC IV Active Advisors Fund, LLC (2)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock 676	\$ (1)	I By: Foundation Capital IV Principals Fund, LLC (2)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock 240,332	\$ (1)	I By: Foundation Capital VI, L.P. (3)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock 2,684	\$ (1)	I By: Foundation Capital VI Principals Fund, LLC (3)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Vassallo Steven C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â X	Â X	Â	Â

Signatures

/s/ Gail M. Haney as Attorney-In-Fact 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.
Foundation Capital Management Co. IV, LLC is the general partner of Foundation Capital IV, L.P., FC IV Active Advisors Fund, LLC and Foundation Capital IV Principals Fund, LLC. Steven P. Vassallo is a non-managing member of Foundation Capital Management Co. IV, LLC. As a non-managing member of Foundation Capital Management Co. IV, LLC, Mr. Vassallo disclaims beneficial ownership in the shares held by the aforementioned entities except to the extent of his pecuniary interest therein.
- (2) Foundation Capital Management Co. VI, LLC is the general partner of Foundation Capital VI, L.P. and Foundation Capital VI Principals Fund, LLC. Steven P. Vassallo is a managing member of Foundation Capital Management Co. VI, LLC and may be deemed to share voting and investment power over the shares owned by Foundation Capital VI, L.P. and Foundation Capital VI Principals Fund, LLC. Mr. Vassallo disclaims beneficial ownership in the shares held by the aforementioned entities except to the extent of his pecuniary interest therein.
- (3) Foundation Capital Management Co. VI, LLC is the general partner of Foundation Capital VI, L.P. and Foundation Capital VI Principals Fund, LLC. Steven P. Vassallo is a managing member of Foundation Capital Management Co. VI, LLC and may be deemed to share voting and investment power over the shares owned by Foundation Capital VI, L.P. and Foundation Capital VI Principals Fund, LLC. Mr. Vassallo disclaims beneficial ownership in the shares held by the aforementioned entities except to the extent of his pecuniary interest therein.

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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