

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, 2005
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 *

Â Dungan Jefferson
(Last) (First) (Middle)

C/O CONTROL4 CORPORATION,Â 11734 S. ELECTION ROAD
(Street)

SALT LAKE CITY,Â UTÂ 84020
(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
08/01/2013

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

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer Other
(give title below) (specify below)
SVP Bus. Development

5. 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

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)
Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)
Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security: Direct (D)

6. Nature of Indirect Beneficial Ownership (Instr. 5)

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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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