

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)

<p>1. Name and Address of Reporting Person *</p> <p>Â PLAEHN MARTIN</p> <p>(Last) (First) (Middle)</p> <p>C/O CONTROL4 CORPORATION,Â 11734 S. ELECTION ROAD</p> <p>(Street)</p> <p>SALT LAKE CITY,Â UTÂ 84020</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 type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) President and CEO</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>
---	---	--	--	---	---

Table I - Non-Derivative Securities Beneficially Owned

<p>1. Title of Security (Instr. 4)</p>	<p>2. Amount of Securities Beneficially Owned (Instr. 4)</p>	<p>3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)</p>	<p>4. Nature of Indirect Beneficial Ownership (Instr. 5)</p>
--	--	---	--

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)

<p>1. Title of Derivative Security (Instr. 4)</p>	<p>2. Date Exercisable and Expiration Date (Month/Day/Year)</p> <p>Date Exercisable Expiration Date</p>	<p>3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)</p> <p>Title Amount or Number of</p>	<p>4. Conversion or Exercise Price of Derivative Security</p>	<p>5. Ownership Form of Derivative Security: Direct (D)</p>	<p>6. Nature of Indirect Beneficial Ownership (Instr. 5)</p>
---	--	--	---	---	--

Edgar Filing: CONTROL4 CORP - Form 3

				Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â (1)	09/28/2021	Common Stock	125,887	\$ 6.136	D	Â
Stock Option (right to buy)	Â (2)	09/28/2021	Common Stock	604,260	\$ 6.136	D	Â
Stock Option (right to buy)	Â (3)	06/10/2023	Common Stock	96,153	\$ 11.284	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PLAEHN MARTIN C/O CONTROL4 CORPORATION 11734 S. ELECTION ROAD SALT LAKE CITY, UT 84020	Â X	Â	Â President and CEO	Â

Signatures

/s/ Martin Plaehn 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).

- The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on September 29, 2012 and
- (1) 1/48th of the shares vest monthly thereafter, subject to the reporting person's continuous service to the Issuer on each such date. The option shall vest only if certain annual milestones are achieved, as set forth in the reporting person's employment agreement.
 - (2) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vested on September 29, 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.
 - (3) The option becomes exercisable once the shares are vested. 1/4th of the shares subject to the option vest on September 29, 2016 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. 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.