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

0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Expires: January 31, 2005

Estimated average burden hours per response...

SECURITIES

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement CONTROL4 CORP [CTRL] ELMORE WILLIAM B (Month/Day/Year) 08/01/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O FOUNDATION (Check all applicable) CAPITAL, 250 MIDDLEFIELD ROAD Director __X__ 10% Owner (Street) Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) Form filed by One Reporting Person MENLO PARK. CAÂ 94025 _X_ Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Ownership Beneficially Owned (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) By: Foundation Capital IV, L.P. Common Stock Ι 18,920 (2) By: FC IV Active Advisors Fund, Common Stock 149 Ι LLC (2) By: Foundation Capital IV Common Stock 160 Ι Principals Fund, LLC (2)

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.

Edgar Filing: CONTROL4 CORP - Form 3

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

Edgar Filing: CONTROL4 CORP - Form 3

							LLC (2)
Sereis G Convertible Preferred Stock	(1)	(1)	Common Stock	79,699	\$ <u>(1)</u>	I	By: Foundation Capital IV, L.P. (2)
Sereis G Convertible Preferred Stock	(1)	(1)	Common Stock	629	\$ <u>(1)</u>	I	By: FC IV Active Advisors Fund, LLC (2)
Sereis G Convertible Preferred Stock	(1)	(1)	Common Stock	676	\$ <u>(1)</u>	I	By: Foundation Capital IV Principals Fund, LLC (2)
Sereis G Convertible Preferred Stock	(1)	(1)	Common Stock	240,332	\$ <u>(1)</u>	I	By: Foundation Capital VI, L.P. (3)
Sereis G Convertible Preferred Stock	(1)	(1)	Common Stock	2,684	\$ <u>(1)</u>	I	By: Foundation Capital VI Principals Fund,

Reporting Owners

Reporting Owner Name / Address	Relationships				
roporting of their remaining remaining	Director	10% Owner	Officer	Other	
ELMORE WILLIAM B C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	ÂX	Â	Â	
GOULD KATHRYN C C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	ÂX	Â	Â	
HOLLAND PAUL R C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	ÂX	Â	Â	
KOONTZ PAUL G C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	ÂX	Â	Â	
SCHUH MICHAEL N C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	ÂX	Â	Â	
Weiss Warren M C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD	Â	ÂX	Â	Â	

Reporting Owners 3

MENLO PARK, CAÂ 94025

Redelfs Richard C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CAÂ 94025

Â X Â Â

Sidana Ashmeet

C/O FOUNDATION CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CAÂ 94025

Â X Â Â

Moldow Charles C/O FOUNDAITON CAPITAL 250 MIDDLEFIELD ROAD MENLO PARK, CAÂ 94025

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. William B. Elmore, Kathryn C. Gould, Paul R. Holland, Paul G. Koontz, Michael N.
- (2) Schuh and Warren M. Weiss are managing members of Foundation Capital Management Co. IV, LLC, and may be deemed to share voting and investment power over the shares owned by Foundation Capital IV, L.P., FC IV Active Advisors Fund, LLC and Foundation Capital IV Principals Fund, LLC. Each of the managing members of Foundation Capital Management Co. IV, LLC disclaims beneficial ownership in the shares held by the aforementioned entities except to the extent of his or her pecuniary interest therein.
 - Foundation Capital Management Co. VI, LLC is the general partner of Foundation Capital VI, L.P. and Foundation Capital VI Principals Fund, LLC. William B. Elmore, Paul R. Holland, Paul G. Koontz, Charles P. Moldow, Richard A. Redelfs, Michael N. Schuh, Ashmeet
- (3) S. Sidana, Steven P. Vassallo and Warren M. Weiss are the managing members 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. Each of the managing members of Foundation Capital Management Co. VI, LLC disclaims beneficial ownership in the shares held by the aforementioned entities except to the extent of his or her 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. 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.

Signatures 4