

CONTROL4 CORP
Form 4
March 03, 2014

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
vSpring III D, L.P.

(Last) (First) (Middle)

2795 E. COTTONWOOD
PARKWAY, SUITE 360

(Street)

SALT LAKE CITY, UT 84121

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
02/24/2014

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___X___ 10% Owner
___ Officer (give title below) ___ Other (specify below)

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

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 Beneficial Ownership (Instr. 4) | | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|---------|---|----------------------|
| | | | Code | V | Amount | (A) or (D) | Price | | | |
| Common Stock | 02/24/2014 | | S | | 1,089 | D | \$ 20.7718 | 225,730 | I | See Footnote (1) (4) |
| Common Stock | 02/24/2014 | | S | | 305 | D | \$ 20.7718 | 63,237 | I | See Footnote (2) (4) |
| Common Stock | 02/24/2014 | | S | | 6 | D | \$ 20.7718 | 1,250 | I | See Footnote (3) (4) |
| Common Stock | 02/25/2014 | | S | | 14,818 | D | \$ 20.9213 | 210,912 | I | See Footnote |

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| | | | | | | | | (1) (4) |
|--------------|------------|---|--------|---|------------|-----------|---|----------------------|
| Common Stock | 02/25/2014 | S | 4,151 | D | \$ 20.9213 | 59,086 | I | See Footnote (2) (4) |
| Common Stock | 02/25/2014 | S | 82 | D | \$ 20.9213 | 1,168 | I | See Footnote (3) (4) |
| Common Stock | 02/26/2014 | S | 30,761 | D | \$ 22.3759 | 180,151 | I | See Footnote (1) (4) |
| Common Stock | 02/26/2014 | S | 8,618 | D | \$ 22.3759 | 50,468 | I | See Footnote (2) (4) |
| Common Stock | 02/26/2014 | S | 170 | D | \$ 22.3759 | 998 | I | See Footnote (3) (4) |
| Common Stock | 02/27/2014 | S | 31,112 | D | \$ 22.8251 | 149,039 | I | See Footnote (1) (4) |
| Common Stock | 02/27/2014 | S | 8,716 | D | \$ 22.8251 | 41,752 | I | See Footnote (2) (4) |
| Common Stock | 02/27/2014 | S | 172 | D | \$ 22.8251 | 826 | I | See Footnote (3) (4) |
| Common Stock | | | | | | 1,973,134 | I | See Footnote (5) (4) |

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

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.

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(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) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu |
|--|--|--------------------------------------|--|--------------------------------|--|--|---|--|-------|
|--|--|--------------------------------------|--|--------------------------------|--|--|---|--|-------|

(Instr. 3,
4, and 5)

| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
|----------------|---------------------|--------------------|-------|--|
| Code V (A) (D) | | | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| vSpring III D, L.P. 2795 E. COTTONWOOD PARKWAY, SUITE 360 SALT LAKE CITY, UT 84121 | | X | | |
| vSpring III L P 2795 E. COTTONWOOD PARKWAY, SUITE 360 SALT LAKE CITY, UT 84121 | | X | | |
| vSpring Partners III, L.P. 2795 E. COTTONWOOD PARKWAY, SUITE 360 SALT LAKE CITY, UT 84121 | | X | | |
| vSpring Management III, L.L.C. 2795 E. COTTONWOOD PARKWAY, SUITE 360 SALT LAKE CITY, UT 84121 | | X | | |
| vSpring Management III D, L.L.C. 2795 E. COTTONWOOD PARKWAY, SUITE 360 SALT LAKE CITY, UT 84121 | | X | | |

Signatures

| | |
|--|------------|
| vSpring III, L.P. By: vSpring Management III, L.L.C. Its: General Partner | 03/03/2014 |
| __Signature of Reporting Person | Date |
| vSpring III D, L.P. By: vSpring Management III, L.L.C. Its: General Partner | 03/03/2014 |
| __Signature of Reporting Person | Date |
| vSpring Partners III, L.P. By: vSpring Management III, L.L.C. Its: General Partner | 03/03/2014 |
| __Signature of Reporting Person | Date |
| vSpring Management III, L.L.C. | 03/03/2014 |
| __Signature of Reporting Person | Date |
| vSpring Management III D, L.L.C. | 03/03/2014 |
| __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).

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(1) These shares are held by vSpring III, L.P. ("vSpring III"), of which vSpring Management III, L.L.C. ("vSpring Management III") is the sole general partner and exercises voting and investment power over these shares. The managing members of vSpring Management III are Scott Petty, Dinesh Patel, Ron Heinz and Brandon Tidwell. Scott Petty is a director of Issuer. vSpring III, vSpring SBIC, vSpring III D and vSpring Partners (as defined below) may be deemed to be members of a Section 13(d) "group." vSpring SBIC, vSpring SBIC Management, vSpring Management III D, vSpring III D and vSpring Partners disclose the existence of such group and disclaim beneficial ownership of any shares held by vSpring III.

(2) These shares are held by vSpring III D, L.P. ("vSpring III D"), of which vSpring Management III D, L.L.C. ("vSpring Management III D") is the sole general partner and exercises voting and investment power over these shares. The managing members of vSpring Management III D are Scott Petty, Dinesh Patel, Ron Heinz and Brandon Tidwell. Scott Petty is a director of Issuer. vSpring III D, vSpring SBIC, vSpring III (as defined below) and vSpring Partners (as defined below) may be deemed to be members of a Section 13(d) "group." vSpring SBIC, vSpring SBIC Management, vSpring Management III (as defined below), vSpring III and vSpring Partners disclose the existence of such group and disclaim beneficial ownership of any shares held by vSpring III D.

(3) These shares are held by vSpring Partners III, L.P. ("vSpring Partners"), of which vSpring Management III is the sole general partner and exercises voting and investment power over these shares. The managing members of vSpring Management III are Scott Petty, Dinesh Patel, Ron Heinz and Brandon Tidwell. Scott Petty is a director of Issuer. vSpring Partners, vSpring III D, vSpring SBIC and vSpring III may be deemed to be members of a Section 13(d) "group." vSpring SBIC, vSpring SBIC Management, vSpring Management III D, vSpring III D and vSpring III disclose the existence of such group and disclaim beneficial ownership of any shares held by vSpring Partners.

(4) The reporting persons and their managing members disclaim beneficial ownership of these securities, except to the extent of their respective proportionate pecuniary interest therein, and this report shall not be deemed an admission that any of the reporting persons or their managing members are the beneficial owners of such securities for Section 16 or any other purpose.

(5) These shares are owned directly by vSpring SBIC, L.P. ("vSpring SBIC"), of which vSpring SBIC Management, L.L.C. ("vSpring SBIC Management") is the sole general partner and exercises voting and investment power over these shares. The managing members of vSpring SBIC Management are Scott Petty and Dinesh Patel. Scott Petty is a director of Issuer. vSpring SBIC, vSpring III D (as defined below), vSpring III (as defined below) and vSpring Partners (as defined below) may be deemed to be members of a Section 13(d) "group." vSpring Management III (as defined below), vSpring Management III D (as defined below), vSpring III D, vSpring III and vSpring Partners disclose the existence of such group and disclaim beneficial ownership of any shares held by vSpring SBIC.

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.