

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 FOUNDATION CAPITAL MANAGEMENT CO IV LLC</p> <p>(Last) (First) (Middle)</p> <p>250 MIDDLEFIELD ROAD</p> <p>(Street)</p> <p>MENLO PARK, Â CA Â 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>___ Director    <input checked="" type="checkbox"/> 10% Owner</p> <p>___ Officer    <input checked="" type="checkbox"/> Other</p> <p>(give title below) (specify below)</p> <p>Mmbr 13D group owning &gt; 10%</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p>___ Form filed by One Reporting Person</p> <p><input checked="" 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. <u>(2)</u>
Common Stock	149	I	By: FC IV Active Advisors Fund, LLC <u>(2)</u>
Common Stock	160	I	By: Foundation Capital IV Principals Fund, LLC <u>(2)</u>

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)**

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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, LLC (2)
	Â (1)	Â (1)		79,699	\$ (1)	I	

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

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
FOUNDATION CAPITAL MANAGEMENT CO IV LLC 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	Â X	Â	Mmbr 13D group owning > 10%
FOUNDATION CAPITAL IV LP 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	Â X	Â	Mmbr 13D group owning > 10%
FC IV ACTIVE ADVISORS FUND LLC 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	Â X	Â	Mmbr 13D group owning > 10%
Foundation Capital IV Principals Fund, LLC 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	Â X	Â	Mmbr 13D group owning > 10%
Foundation Capital Management Co. VI, LLC 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	Â X	Â	Mmbr 13D group owning > 10%
FOUNDATION CAPITAL VI LP 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	Â X	Â	Mmbr 13D group owning > 10%
Foundation Capital VI Principals Fund, LLC 250 MIDDLEFIELD ROAD MENLO PARK, CA 94025	Â	Â X	Â	Mmbr 13D group owning > 10%

## 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. 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.

- (2)
- 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 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.