

CONTROL4 CORP
Form 4
February 28, 2014

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Thomas Weisel Capital Management LLC

(Last) (First) (Middle)

ONE MONTGOMERY STREET,
37TH FLOOR,

(Street)

SAN FRANCISCO, CA 94104

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
02/26/2014

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	02/26/2014		J ⁽⁴⁾		5,555	D	\$ 0	18,476	I	By Thomas Weisel Venture Partners Employee Fund, L.P. (1) (3)
Common Stock	02/26/2014		J ⁽⁵⁾		669,445	D	\$ 0	2,226,754	I	By Thomas Weisel Venture Partners, L.P. (2) (3)

Edgar Filing: CONTROL4 CORP - Form 4

Common Stock 02/26/2014 J⁽⁴⁾ 197 A \$ 0 197 D

Common Stock 02/26/2014 J⁽⁵⁾ 32,459 A \$ 0 32,459 I

By Thomas Weisel Venture Partners LLC

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.

SEC 1474 (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) (Instr. 3, 4, and 5)	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. Number of Derivative Securities Beneficially Owned Following Transaction (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Thomas Weisel Capital Management LLC ONE MONTGOMERY STREET, 37TH FLOOR SAN FRANCISCO, CA 94104		X		
Thomas Weisel Venture Partners Employee Fund, L.P. ONE MONTGOMERY STREET, FLOOR 37 SAN FRANCISCO, CA 94104		X		
Thomas Weisel Venture Partners LLC ONE MONTGOMERY STREET, 37TH FLOOR SAN FRANCISCO, CA 94104		X		
		X		

Thomas Weisel Venture Partners, L.P.
 THOMAS WEISEL VENTURE PARTNERS
 ONE MONTGOMERY STREET, FLOOR 37
 SAN FRANCISCO, CA 94104

Signatures

Thomas Weisel Capital Management LLC, /s/ Michael Chien, Associate General Counsel	02/28/2014
__Signature of Reporting Person	Date
Thomas Weisel Venture Partners Employee Fund, L.P., /s/ Michael Chien, Associate General Counsel of Thomas Weisel Capital Management LLC, General Partner of Thomas Weisel Venture Partners Employee Fund, L.P.	02/28/2014
__Signature of Reporting Person	Date
Thomas Weisel Venture Partners LLC, /s/ Michael Chien, Associate General Counsel	02/28/2014
__Signature of Reporting Person	Date
Thomas Weisel Venture Partners, L.P., /s/ Michael Chien, Associate General Counsel of Thomas Weisel Venture Partners LLC, General Partner of Thomas Weisel Venture Partners, L.P.	02/28/2014
__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).

These shares are owned directly by Thomas Weisel Venture Partners Employee Fund, L.P. ("TWVP Employee Fund"), of which Thomas Weisel Capital Management LLC ("TWCM") is the sole general partner and exercises voting and investment power over these shares. Robert Born is the fund manager for TWVP Employee Fund. TWVP Employee Fund, TWCM and the fund manager of TWVP Employee Fund

(1) Fund 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 TWVP Employee Fund, TWCM or the fund manager of TWVP Employee Fund are the beneficial owners of such securities for Section 16 or any other purpose.

These shares are owned directly by Thomas Weisel Venture Partners, L.P. ("TWVP"), of which Thomas Weisel Venture Partners LLC ("TWVP LLC") is the sole general partner and exercises voting and investment power over these shares. Robert Born is the fund manager

(2) for TWVP. TWVP, TWVP LLC and the fund manager of TWVP 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 TWVP, TWVP LLC or the fund manager of TWVP are the beneficial owners of such securities for Section 16 or any other purpose.

TWVP and TWVP Employee Fund may be deemed to be members of a Section 13(d) "group." TWCM and TWVP Employee Fund

(3) disclose the existence of such group and disclaim beneficial ownership of any shares held by TWVP. TWVP LLC and TWVP disclose the existence of such group and disclaim beneficial ownership of any shares held by TWVP Employee Fund.

(4) Distributed without additional consideration to partners from TWVP Employee Fund in pro rata distributions pursuant to the partnership agreement and/or operating agreement.

(5) Distributed without additional consideration to partners from TWVP in pro rata distributions pursuant to the partnership agreement and/or operating agreement.

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.