

CONTROL4 CORP
Form 4
August 09, 2013

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 *
CISCO SYSTEMS, INC.

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
170 WEST TASMAN DR
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
08/07/2013

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

SAN JOSE, CA 95134-1706

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

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

(City) (State) (Zip)

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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	08/07/2013		C		1,510,981 (1)	A	(1)
Common Stock	08/07/2013		X		402,928 (2)	A	\$ 9.9273 (2)
Common Stock	08/07/2013		S	(2)	250,000 (2)	D	\$ 16 (2)
Common Stock	08/07/2013		X		67,154 (3)	A	\$ 9.9273 (3)
Common Stock	08/07/2013		S	(3)	41,667 (3)	D	\$ 16 (3)

Stock

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

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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) (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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount of Number of Shares
Series H Preferred Stock	(1)	08/07/2013		C	1,510,981 (1)	(1) (4)	Common Stock 1,510,981 (1)
Common Stock Warrant (right to buy)	\$ 9.9273 (2)	08/07/2013		X	402,928 (2)	01/21/2011 (5)	Common Stock 402,928 (2)
Common Stock Warrant (right to buy)	\$ 9.9273 (3)	08/07/2013		X	67,154 (3)	02/15/2011 (6)	Common Stock 67,154

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CISCO SYSTEMS, INC. 170 WEST TASMAN DR SAN JOSE, CA 95134-1706			X	

Signatures

Cisco Systems, Inc. By: /s/ Evan Sloves, Assistant Secretary 08/09/2013

__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).

(1) On August 7, 2013, effective immediately prior to the closing of the Issuer's initial public offering, each share of Series H Preferred Stock automatically converted into one share of Issuer's Common Stock for no additional consideration. The Series H Preferred Stock had no expiration date.

(2) On August 7, 2013, Reporting Person exercised a warrant to purchase 402,928 shares of Issuer's Common Stock for \$9.9273 per share. Reporting Person paid the exercise price on a cashless basis, based on Issuer's initial offering price of \$16.00 per share, resulting in the Issuer's withholding of 250,000 of the warrant shares to pay the exercise price and issuing to Reporting Person the remaining 152,928 shares.

(3) On August 7, 2013, Reporting Person exercised a warrant to purchase 67,154 shares of Issuer's Common Stock for \$9.9273 per share. Reporting Person paid the exercise price on a cashless basis, based on Issuer's initial offering price of \$16.00 per share, resulting in the Issuer's withholding of 41,667 of the warrant shares to pay the exercise price and issuing to Reporting Person the remaining 25,487 shares.

(4) None.

(5) This warrant expires upon the earlier of (i) an initial public offering of the Issuer's securities, or (ii) January 21, 2014.

(6) This warrant expires upon the earlier of (i) an initial public offering of the Issuer's securities, or (ii) February 15, 2014.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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