

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
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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)

| | | | | |
|---|---------|--------------------------------------|--|--|
| 1. Name and Address of Reporting Person * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â CISCO SYSTEMS, INC. | | (Month/Day/Year) | CONTROL4 CORP [CTRL] | |
| (Last) | (First) | (Middle) | 08/01/2013 | |
| 170 WEST TASMAN DR | | | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| (Street) | | | (Check all applicable) | |
| SAN JOSE,Â CAÂ 95134-1706 | | | <input type="checkbox"/> Director | <input checked="" type="checkbox"/> 10% Owner |
| (City) | (State) | (Zip) | <input type="checkbox"/> Officer | <input type="checkbox"/> Other |
| | | | (give title below) | (specify below) |
| | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| | | | | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| | | | | <input type="checkbox"/> Form filed by More than One Reporting Person |

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) |
|------------------------------------|--|---|--|

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.

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 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 | | |

Edgar Filing: CONTROL4 CORP - Form 3

| | | | | | | | |
|-------------------------------------|------------|-------|--------------|------------------|-----------|---|---|
| Series H Preferred Stock | Â (1) | Â (2) | Common Stock | 1,510,981 (1) | \$ (1) | D | Â |
| Common Stock Warrant (right to buy) | 01/21/2011 | Â (3) | Common Stock | 402,928 | \$ 9.9273 | D | Â |
| Common Stock Warrant (right to buy) | 02/15/2011 | Â (4) | Common Stock | 67,154 | \$ 9.9273 | D | Â |

Reporting Owners

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

Signatures

Cisco Systems, Inc. By: /s/ Evan Sloves, Assistant Secretary 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 Series H Preferred Stock is currently convertible into one share of Issuer's Common Stock for no additional consideration. In addition, each share of Series H Preferred Stock will automatically convert into one share of Issuer's Common Stock upon the closing of the Issuer's initial public offering for no additional consideration.
- (2) None.
- (3) This warrant expires upon the earlier of (i) an initial public offering of the Issuer's securities or (ii) January 21, 2014.
- (4) This warrant expires upon the earlier of (i) an initial public offering of the Issuer's securities or (ii) February 15, 2014.

Â

Remarks:

Following the closing of the Issuer's initial public offering, the Reporting Person expects that the se

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.