

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)

1. Name and Address of Reporting Person *			2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â Frazier Technology Management, LLC			(Month/Day/Year)	CONTROL4 CORP [CTRL]	
(Last)	(First)	(Middle)	08/01/2013		
601 UNION STREET, SUITE 3200			4. Relationship of Reporting Person(s) to Issuer		
(Street)			(Check all applicable)		
SEATTLE, WA 98101			<input type="checkbox"/> Director <input checked="" type="checkbox"/> 10% Owner <input type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below)		
(City)	(State)	(Zip)	5. If Amendment, Date Original Filed(Month/Day/Year)		
			6. Individual or Joint/Group Filing(Check Applicable Line)		
			<input type="checkbox"/> Form filed by One Reporting Person		
			<input checked="" 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)
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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)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable Expiration Date	Title Amount or Number of			

				Shares		or Indirect (I) (Instr. 5)	
Series B Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	1,419,244	\$ (1)	I	By Frazier Technology Ventures II, L.P. (2)
Series C Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	256,365	\$ (1)	I	By Frazier Technology Ventures II, L.P. (2)
Series D Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	188,536	\$ (1)	I	By Frazier Technology Ventures II, L.P. (2)
Series G Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	324,023	\$ (1)	I	By Frazier Technology Ventures II, L.P. (2)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Frazier Technology Management, LLC 601 UNION STREET, SUITE 3200 SEATTLE, WA 98101	Â	Â X	Â	Â
FRAZIER TECHNOLOGY VENTURES II L P 601 UNION STREET, SUITE 3200 SEATTLE, WA 98101	Â	Â X	Â	Â
FTVM II, L.P. 601 UNION STREET, SUITE 3200 SEATTLE, WA 98101	Â	Â X	Â	Â

Signatures

Frazier Technology Management, L.L.C. /s/ Len Jordan, Managing Member	08/01/2013
**Signature of Reporting Person	Date
Frazier Technology Ventures II, L.P., By FTVM II, L.P., its general partner /s/ Len Jordan, Managing Member of Frazier Technology Management LLC, its general partner	08/01/2013
**Signature of Reporting Person	Date
FTVM II, L.P. /s/ Len Jordan, Managing Member of Frazier Technology Management, L.L.C., its general partner	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 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.
- These shares are owned directly by Frazier Technology Ventures II, L.P. ("Frazier"), of which FTVM II, L.P. ("FTVM") is the sole general partner. Frazier Technology Management, L.L.C. ("Frazier Tech Management") is the sole general partner of FTVM and exercises voting and investment power over these shares. The managing members of Frazier Tech Management are Scott Darling, Paul Bialek, Frazier Management LLC and Len Jordan. Frazier, FTVM, Frazier Tech Management and the managing members of Frazier Tech
- (2) Management 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 Frazier, FTVM, Frazier Tech Management or the managing members of Frazier Tech Management are the beneficial owners of such securities for Section 16 or any other purpose. Len Jordan is a director of Issuer.

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.