

CONTROL4 CORP  
Form SC 13G  
February 14, 2014

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION**

**Washington, D.C. 20549**

**SCHEDULE 13G**

Under the Securities Exchange Act of 1934  
(Amendment No. )\*

**Control4 Corporation**

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(Name of Issuer)

**Control4 Corporation**

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(Title of Class of Securities)

**21240D107**

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(CUSIP Number)

**February 14, 2014**

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(Date of Event which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

- ☒ Rule 13d-1(b)  
☐ Rule 13d-1(c)  
☐ Rule 13d-1(d)

\* The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see Instructions).

CUSIP No.: 21240D107

1                      NAME OF REPORTING PERSON  
                            THOMAS WEISEL CAPITAL  
                            MANAGEMENT, LLC

I.R.S. IDENTIFICATION NO. OF  
ABOVE PERSON (ENTITIES ONLY)  
94-3331306

2 CHECK THE APPROPRIATE BOX IF  
A MEMBER OF A GROUP  
(a) ☐   
(b) ☐

3 SEC USE ONLY

4 CITIZENSHIP OR PLACE OF  
ORGANIZATION  
DELAWARE

NUMBER OF SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH	5	SOLE VOTING POWER 0
	6	SHARED VOTING POWER 2,920,236
	7	SOLE DISPOSITIVE POWER 0
	8	SHARED DISPOSITIVE POWER 2,920,236

9 AGGREGATE AMOUNT  
BENEFICIALLY OWNED BY EACH  
REPORTING PERSON  
2,920,236

10 CHECK BOX IF THE AGGREGATE  
AMOUNT IN ROW (9) EXCLUDES  
CERTAIN SHARES ☐

11 PERCENT OF CLASS REPRESENTED  
BY AMOUNT IN ROW (9)  
12.8235%

12 TYPE OF REPORTING PERSON  
IA

CUSIP No.: 21240D107

1 NAME OF REPORTING PERSON  
THOMAS WEISEL VENTURE  
PARTNERS, LLC

I.R.S. IDENTIFICATION NO. OF  
ABOVE PERSON (ENTITIES ONLY)

22-3864053

CHECK THE APPROPRIATE BOX IF  
A MEMBER OF A GROUP

2

(a) ☐

(b) ☐

3

SEC USE ONLY

4

CITIZENSHIP OR PLACE OF  
ORGANIZATION  
DELAWARE

NUMBER OF  
SHARES  
BENEFICIALLY  
OWNED BY EACH  
REPORTING  
PERSON WITH

5 SOLE VOTING POWER  
0

6 SHARED VOTING POWER  
2,920,236

7 SOLE DISPOSITIVE POWER  
0

8 SHARED DISPOSITIVE POWER  
2,920,236

9

AGGREGATE AMOUNT  
BENEFICIALLY OWNED BY EACH  
REPORTING PERSON  
2,920,236

10

CHECK BOX IF THE AGGREGATE  
AMOUNT IN ROW (9) EXCLUDES  
CERTAIN SHARES ☐

11

PERCENT OF CLASS REPRESENTED  
BY AMOUNT IN ROW (9)  
12.8235%

12

TYPE OF REPORTING PERSON  
CO

CUSIP No.: 21240D107

1

NAME OF REPORTING PERSON  
THOMAS WEISEL VENTURE  
PARTNERS, LP

I.R.S. IDENTIFICATION NO. OF  
ABOVE PERSON (ENTITIES ONLY)  
94-3367758

2 CHECK THE APPROPRIATE BOX IF  
A MEMBER OF A GROUP  
(a) ☐   
(b) ☐

3 SEC USE ONLY

4 CITIZENSHIP OR PLACE OF  
ORGANIZATION  
DELAWARE

NUMBER OF SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH	5	SOLE VOTING POWER 0
	6	SHARED VOTING POWER 2,920,236
	7	SOLE DISPOSITIVE POWER 0
	8	SHARED DISPOSITIVE POWER 2,920,236

9 AGGREGATE AMOUNT  
BENEFICIALLY OWNED BY EACH  
REPORTING PERSON  
2,920,236

10 CHECK BOX IF THE AGGREGATE  
AMOUNT IN ROW (9) EXCLUDES  
CERTAIN SHARES ☐

11 PERCENT OF CLASS REPRESENTED  
BY AMOUNT IN ROW (9)  
12.8235%

12 TYPE OF REPORTING PERSON  
PN

CUSIP No.: 21240D107

ITEM 1(a). NAME OF  
ISSUER:  
Control4  
Corporation  
ADDRESS OF  
ISSUER'S  
ITEM 1(b). PRINCIPAL  
EXECUTIVE  
OFFICES:

11734 SOUTH  
ELECTION ROAD  
SALT LAKE CITY  
UT 84020

ITEM 2(a). NAME OF  
PERSON FILING:

THIS  
STATEMENT IS  
FILED BY  
THOMAS WEISEL  
CAPITAL  
MANAGEMENT,  
LLC (TWCM)  
WITH RESPECT  
TO SHARES OF  
COMMON STOCK  
OF THE ISSUER  
OWNED BY  
THOMAS WEISEL  
VENTURE  
PARTNERS, LP  
(THE "FUND") AN  
INVESTMENT  
FUND FOR  
WHICH TWCM  
SERVES AS  
INVESTMENT  
ADVISOR, AND  
THOMAS WEISEL  
VENTURE  
PARTNERS, LLC  
IS THE GENERAL  
PARTNER.

ITEM 2(b). ADDRESS OF  
PRINCIPAL  
BUSINESS  
OFFICE OR, IF  
NONE,  
RESIDENCE:

One Montgomery  
Street  
Suite 3700  
San Francisco, CA  
94104

ITEM 2(c). CITIZENSHIP:  
THOMAS WEISEL  
CAPITAL  
MANAGEMENT,

LLC -  
DELAWARE  
THOMAS WEISEL  
VENTURE  
PARTNERS, LLC -  
DELAWARE  
THOMAS WEISEL  
VENTURE  
PARTNERS, LP -  
DELAWARE

ITEM 2(d). TITLE OF CLASS  
OF SECURITIES:

Control4  
Corporation

ITEM 2(e). CUSIP NUMBER:

21240D107

ITEM 3. IF THIS STATEMENT IS FILED PURSUANT TO SECTION 240.13d-1(b), or 13d-2(b) or (c) CHECK  
WHETHER THE PERSON FILING IS A:

- (a) ☐ Broker or dealer registered under Section 15 of the Act (15 U.S.C. 78c);
- (b) ☐ Bank as defined in Section 3(a)(6) of the Act (15 U.S.C. 78c);
- (c) ☐ Insurance company as defined in Section 3(a)(19) of the Act (15 U.S.C. 78c);
- (d) ☐ Investment company registered under Section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8);
- (e) ☒ An investment adviser in accordance with 240.13d-1(b)(1)(ii)(E);
- (f) ☐ An employee benefit plan or endowment fund in accordance with 240.13d-1(b)(1)(ii)(F);
- (g) ☐ A parent holding company or control person in accordance with 240.13d-1(b)(1)(ii)(G);
- (h) ☐ A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i) ☐ A church plan that is excluded from the definition of an investment company under Section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
- (j) ☐ A non-U.S. institution in accordance with 240.13d-1(b)(1)(ii)(J);
- (k) ☐ Group, in accordance with 240.13d-1(b)(1)(ii)(K). If filing as a non-U.S. institution in accordance with 240.13d-1(b)(1)(ii)(J), please specify the type of institution:

ITEM 4. OWNERSHIP:

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

(a) Amount beneficially owned:

2,920,236

(b) Percent of class:

12.8235%

(c) Number of shares as to which the person has:

(i) Sole power to vote or to direct the vote:

THOMAS WEISEL CAPITAL MANAGEMENT, LLC - 0

THOMAS WEISEL VENTURE PARTNERS, LLC - 0

THOMAS WEISEL VENTURE PARTNERS, LP - 0

(ii) Shared power to vote or to direct the vote:

THOMAS WEISEL CAPITAL MANAGEMENT, LLC - 2,920,236

THOMAS WEISEL VENTURE PARTNERS, LLC - 2,920,236

THOMAS WEISEL VENTURE PARTNERS, LP - 2,920,236

(iii) Sole power to dispose or to direct the disposition of:

THOMAS WEISEL CAPITAL MANAGEMENT, LLC - 0

THOMAS WEISEL VENTURE PARTNERS, LLC - 0

THOMAS WEISEL VENTURE PARTNERS, LP - 0

(iv) Shared power to dispose or to direct the disposition of:

THOMAS WEISEL CAPITAL MANAGEMENT, LLC - 2,920,236

THOMAS WEISEL VENTURE PARTNERS, LLC - 2,920,236

THOMAS WEISEL VENTURE PARTNERS, LP - 2,920,236

OWNERSHIP OF

ITEM 5. FIVE PERCENT OR  
LESS OF A CLASS:

If this statement is  
being filed to report  
the fact that as of the  
date hereof the  
reporting person has  
ceased to be the  
beneficial owner of  
more than five  
percent of the class of  
securities, check the  
following [ ].

OWNERSHIP OF  
MORE THAN FIVE  
PERCENT ON  
ITEM 6. BEHALF OF  
ANOTHER  
PERSON:

AS SET FORTH  
ABOVE THE  
SHARES  
REPORTED ARE  
HELDY BY A FIRM  
CLIENT, THOMAS  
WEISEL VENTURE  
PARTNERS, LP,  
WHICH HAS  
ITSELF REPORTED  
OWNERSHIP OF

THE SHARES  
THROUGH FORM 3  
FILINGS WITH  
THE COMMISSION.  
EACH OF THOMAS  
WEISEL CAPITAL  
MANAGEMENT,  
LLC AND THOMAS  
WEISEL VENTURE  
PARTNERS, LLC IS  
NOT  
CONCLUSIVELY  
CLAIMING  
BENEFICIAL  
OWNERSHIP OF  
THE SHARES AS A  
RESULT OF THIS  
FILING.

IDENTIFICATION  
AND  
CLASSIFICATION  
OF THE  
SUBSIDIARY

ITEM 7. WHICH ACQUIRED  
THE SECURITY  
BEING REPORTED  
ON BY THE  
PARENT HOLDING  
COMPANY:

NOT APPLICABLE  
IDENTIFICATION  
AND

ITEM 8. CLASSIFICATION  
OF MEMBERS OF  
THE GROUP:

NOT APPLICABLE

ITEM 9. NOTICE OF  
DISSOLUTION OF  
GROUP:

NOT APPLICABLE

ITEM 10. CERTIFICATION:

By signing below I  
certify that, to the  
best of my knowledge  
and belief, the  
securities referred to  
above were acquired  
and are held in the



ordinary course of  
business and were not  
acquired and are not  
held for the purpose  
of or with the effect  
of changing or  
influencing the  
control of the issuer  
of the securities and  
were not acquired and  
are not held in  
connection with or as  
a participant in any  
transaction having  
that purpose or effect.

## **SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 14, 2014

Date

THOMAS WEISEL CAPITAL MANAGEMENT, LLC

/s/

---

Signature

RITA KAZEMBE, CHIEF COMPLIANCE OFFICER

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Name/Title

Attention: Intentional misstatements or omissions of fact constitute Federal criminal violations (see 18 U.S.C. 1001).

SIGNATURE