

CONTROL4 CORP
Form SC 13G/A
August 01, 2014

**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

SCHEDULE 13G

Under the Securities Exchange Act of 1934
(Amendment No. 1)*

Control4 Corporation

(Name of Issuer)

Control4 Corporation

(Title of Class of Securities)

21240D107

(CUSIP Number)

August 01, 2014

(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

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

6 SHARED VOTING POWER

7 SOLE DISPOSITIVE POWER

8 SHARED DISPOSITIVE POWER
AGGREGATE AMOUNT

9

BENEFICIALLY OWNED BY EACH
REPORTING PERSON

10

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

11

PERCENT OF CLASS REPRESENTED
BY AMOUNT IN ROW (9)

12

TYPE OF REPORTING PERSON
IA

CUSIP No.: 21240D107

NAME OF REPORTING PERSON
THOMAS WEISEL VENTURE
PARTNERS, LLC

1

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 6 SHARED VOTING POWER 7 SOLE DISPOSITIVE POWER 8 SHARED DISPOSITIVE POWER AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON
9	
10	CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES <input type="checkbox"/>
11	PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)
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) <input type="checkbox"/> (b) <input type="checkbox"/>

3	SEC USE ONLY
4	CITIZENSHIP OR PLACE OF ORGANIZATION DELAWARE
NUMBER OF SHARES	5 SOLE VOTING POWER

BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH	6	SHARED VOTING POWER
	7	SOLE DISPOSITIVE POWER
	8	SHARED DISPOSITIVE POWER

9 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

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

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

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:
- (b) Percent of class:
- (c) Number of shares as to which the person has:
 - (i) Sole power to vote or to direct the vote:
 - (ii) Shared power to vote or to direct the vote:
 - (iii) Sole power to dispose or to direct the disposition of:
 - (iv) Shared power to dispose or to direct the disposition of:

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 [X].

ITEM 6. OWNERSHIP OF MORE THAN FIVE PERCENT ON 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.

August 01, 2014

Date

THOMAS WEISEL CAPITAL MANAGEMENT, LLC

/s/

Signature

ELIZABETH A. WATKINS, CHIEF COMPLIANCE OFFICER

Name/Title

SIGNATURE

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