

JOHNSON CONTROLS INC
Form 4
October 09, 2015

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Molinaroli Alex A

(Last) (First) (Middle)
5757 N. GREEN BAY AVENUE, P.O. BOX 591
(Street)

MILWAUKEE, WI 53201

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
JOHNSON CONTROLS INC [JCI]

3. Date of Earliest Transaction (Month/Day/Year)
10/07/2015

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman & CEO

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

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 Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	10/07/2015		M		8,990.334	A	\$ 43.86
Common Stock	10/07/2015		D		8,990.334	D	\$ 43.86
Common Stock	10/07/2015		A		55,454	A	\$ 0
Common Stock	10/07/2015		A		166,366	A	\$ 0
Common Stock							50,174.241 (2)
						I	by 401(k) Trustee

Edgar Filing: JOHNSON CONTROLS INC - Form 4

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

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.

SEC 1474
(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 a Underlyi (Instr. 3 a	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽³⁾	10/07/2015		M	8,990.334	<u>(4)</u>	<u>(4)</u>	Comm Stock
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽³⁾	10/07/2015		A	9,787	<u>(4)</u>	<u>(4)</u>	Comm Stock
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽³⁾	10/07/2015		A	29,359	<u>(4)</u>	<u>(4)</u>	Comm Stock
Employee Stock Option (Right to Buy)	\$ 43.86	10/07/2015		A	217,604	10/07/2017 ⁽⁶⁾	10/07/2025	Comm Stock
Employee Stock Option (Right to Buy)	\$ 50.23					11/18/2016 ⁽⁶⁾	11/18/2024	Comm Stock
Employee Stock Option (Right to Buy)	\$ 48.37					11/19/2015 ⁽⁶⁾	11/19/2023	Comm Stock
	\$ 30.73					01/23/2015	01/23/2023	

Employee Stock Option (Right to Buy)					Comm Stock
Employee Stock Option (Right to Buy)	\$ 27.85	10/05/2014	10/05/2022		Comm Stock
Employee Stock Option (Right to Buy)	\$ 28.54	10/07/2013	10/07/2021		Comm Stock
Employee Stock Option (Right to Buy)	\$ 30.54	10/01/2012	10/01/2020		Comm Stock
Employee Stock Option (Right to Buy)	\$ 40.21	10/01/2009	10/01/2017		Comm Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Molinaroli Alex A 5757 N. GREEN BAY AVENUE P.O. BOX 591 MILWAUKEE, WI 53201			Chairman & CEO	

Signatures

/s/ Angela M. Blair, Attorney-in-fact for Alex A. Molinaroli 10/09/2015

**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) The balance includes 443.36 shares acquired via dividen reinvestment on July 2, 2015 at \$49.44 per share.
 - (2) The number of underlying securities is based on the stock fund balance on September 29, 2015. The actual number of shares issuable upon the distribution date is not determinable since the stock fund is a unitized account consisting of 96% company stock and 4% money

Edgar Filing: JOHNSON CONTROLS INC - Form 4

market fund. The stock account balance reflected in this report is based on a September 29, 2015 stock fund price of \$39.80 per share.

- (3) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (4) The phantom stock units accrue under the Johnson Controls Restricted Stock Plan and settle 100% in cash upon the reporting person's termination or retirement, subject to vesting requirements.
- (5) The balance includes 1,464.774 phantom stock units acquired via dividend reinvestment on January 5, April 2, July 2, and October 2, 2015, at prices ranging from \$42.33 to \$50.16 per unit.
- (6) Fifty percent of the options vest after two years and the remaining 50% vests after three years.

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.