

JOHNSON CONTROLS INC
Form 4
September 06, 2016

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
Stief Brian J

(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)
09/02/2016

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)
EVP & Chief Financial Officer

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	09/02/2016		D		15,740	D	0
Common Stock	09/02/2016		M		3,939.079	A	\$ 0
Common Stock	09/02/2016		D		3,939.079	D	\$ 48.9
Common Stock	09/02/2016		M		102,093.583	A	\$ 0
Common Stock	09/02/2016		D		102,093.583	D	\$ 48.9

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

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(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 and Underlying Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Employee Stock Option (Right to Buy)	\$ 30.54	09/02/2016		D	35,000	10/01/2012	10/01/2020	Common Stock
Employee Stock Option (Right to Buy)	\$ 28.54	09/02/2016		D	34,500	10/07/2013	10/07/2021	Common Stock
Employee Stock Option (Right to Buy)	\$ 27.85	09/02/2016		D	21,500	10/05/2014	10/05/2022	Common Stock
Employee Stock Option (Right to Buy)	\$ 48.37	09/02/2016		D	14,353	11/19/2015	11/19/2023	Common Stock
Employee Stock Option (Right to Buy)	\$ 50.23	09/02/2016		D	32,175	11/18/2016 ⁽³⁾	11/18/2024	Common Stock
Employee Stock Option (Right to Buy)	\$ 43.86	09/02/2016		D	45,627	10/07/2017 ⁽³⁾	10/07/2025	Common Stock
	\$ 0 ⁽⁴⁾	09/02/2016		M	3,939,079	⁽⁵⁾	⁽⁵⁾	

Phantom Stock Units - Restricted Stock Plan							Common Stock
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽⁴⁾	09/02/2016	M	102,093.583	<u>(5)</u>	<u>(5)</u>	Common Stock
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽⁴⁾	09/02/2016	D	71,415.718	<u>(5)</u>	<u>(5)</u>	Common Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Stief Brian J 5757 N. GREEN BAY AVENUE P.O. BOX 591 MILWAUKEE, WI 53201			EVP & Chief Financial Officer	

Signatures

/s/ Catherine M. Walker, attorney-in-fact for Brian J. Stief 09/06/2016

__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) Each share of Johnson Controls, Inc. ("Johnson Controls") was converted into 0.8357 ordinary shares of Johnson Controls International plc (formerly Tyco International plc) ("JCI plc") and \$5.7293 in cash in connection with the closing of the merger between Johnson Controls and JCI plc (the "merger").
- (2) The options were converted into an equivalent number of options with respect to JCI plc at the same exercise price in connection with the closing of the merger.
- (3) Fifty percent of the options vest after two years and the remaining 50% vests after three years.
- (4) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (5) 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.
- (6) Includes 4,919.78 units acquired via dividend reinvestment on January 5, April 4, July 5 and August 19, 2016 at prices ranging from \$38.58 to \$45.03 per unit.

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.