

JOHNSON CONTROLS INC
Form 4
October 08, 2015

FORM 4

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

OMB APPROVAL

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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 *
VOLTOLINA FRANK A

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

MILWAUKEE, WI 53201-0591

(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)
Vice President and Treasurer

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 Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership Indirect Beneficial Ownership (Instr. 4)
				(A) or (D)	Code V Amount (D) Price		

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

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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	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Security (Instr. 3 and 4)
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
			Code	V (A) (D)				
Employee Stock Option (Right to Buy)	\$ 43.86	10/07/2015	A	14,296	10/07/2017 ⁽¹⁾	10/07/2025	Common Stock	14,296
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽²⁾	10/07/2015	A	4,286	⁽³⁾	⁽³⁾	Common Stock	4,286
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽²⁾	10/07/2015	A	12,859	⁽³⁾	⁽³⁾	Common Stock	12,859
Employee Stock Option (Right to Buy)	\$ 23.965				10/02/2008	10/02/2016	Common Stock	48,000
Employee Stock Option (Right to Buy)	\$ 40.21				10/01/2009	10/01/2017	Common Stock	36,000
Employee Stock Option (Right to Buy)	\$ 28.79				10/01/2010	10/01/2018	Common Stock	48,000
Employee Stock Option (Right to Buy)	\$ 24.87				10/01/2011	10/01/2019	Common Stock	48,000
Employee Stock Option (Right to Buy)	\$ 30.54				10/01/2012	10/01/2020	Common Stock	35,000

Buy)

Employee
Stock

Option \$ 28.54
(Right to
Buy)

10/07/2013 10/07/2021

Common
Stock 32,5

Employee
Stock

Option \$ 27.85
(Right to
Buy)

10/05/2014 10/05/2022

Common
Stock 18,6

Employee
Stock

Option \$ 48.37
(Right to
Buy)

11/19/2015⁽¹⁾ 11/19/2023

Common
Stock 12,1

Employee
Stock

Option \$ 50.23
(Right to
Buy)

11/18/2016⁽¹⁾ 11/18/2024

Common
Stock 11,8

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
VOLTOLINA FRANK A 5757 N. GREEN BAY AVENUE P.O. BOX 591 MILWAUKEE, WI 53201-0591			Vice President and Treasurer	

Signatures

/s/ Angela M. Blair, Attorney-in-Fact for Frank A.
Voltolina

10/08/2015

__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) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.
- (2) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (3) 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.
- (4) The balance includes 940,491 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 phantom stock unit.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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