

JOHNSON CONTROLS INC

Form 4

October 09, 2015

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

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

OMB APPROVAL

OMB
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(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
____X____ Officer (give title below) ____ Other (specify below)

Chairman & CEO

6. Individual or Joint/Group Filing(Check
Applicable Line)
____X____ 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)
Common Stock	10/07/2015		M	8,990.334	A	\$ 43.86	93,740.57 ⁽¹⁾ D
Common Stock	10/07/2015		D	8,990.334	D	\$ 43.86	84,750.236 D
Common Stock	10/07/2015		A	55,454	A	\$ 0	140,204.236 D
Common Stock	10/07/2015		A	166,366	A	\$ 0	306,570.236 D
Common Stock						50,174.241 ⁽²⁾	I by 401(k) Trustee

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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 a Underlyi (Instr. 3 a			
						Date Exercisable	Expiration Date	Title		
				Code	V	(A)	(D)			
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽³⁾	10/07/2015		M			8,990.334	⁽⁴⁾ <u> </u>	⁽⁴⁾ <u> </u>	Comm Stock
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽³⁾	10/07/2015		A		9,787		⁽⁴⁾ <u> </u>	⁽⁴⁾ <u> </u>	Comm Stock
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽³⁾	10/07/2015		A		29,359		⁽⁴⁾ <u> </u>	⁽⁴⁾ <u> </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

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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.

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