

JOHNSON CONTROLS INC  
Form 4  
September 07, 2016

**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 \*  
Williams Jeffrey M

(Last) (First) (Middle)

5757 N GREEN BAY AVE

(Street)

MILWAUKEE, WI 53209

(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  
\_X\_ Officer (give title below) \_\_\_\_\_ Other (specify below)

VP, Enterprise Ops & Enginrg

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)	(A) or (D)	5. Amount or Price	6. Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	7. Nature of Ownership Indirect Beneficial Ownership (Instr. 4)
Common Stock	09/02/2016		F	1,542	D	\$ 45.45	98,879.798	D
Common Stock	09/02/2016		F	12,500	D	\$ 45.45	86,379.798	D
Common Stock	09/02/2016		M	296.691	A	\$ 0	86,676.489	D
Common Stock	09/02/2016		M	3,232.743	A	\$ 0	89,909.232	D
Common Stock	09/02/2016		D	3,529.434	D	\$ 45.45	86,379.798	D

Edgar Filing: JOHNSON CONTROLS INC - Form 4

Common Stock 09/02/2016 D 86,379.798 D (3) 0 D  
 (1) (2)

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 and Amount of Underlying Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Employee Stock Option (Right to Buy)	\$ 40.21	09/02/2016		D	36,000	10/01/2009 10/01/2017	Common Stock	
Employee Stock Option (Right to Buy)	\$ 28.79	09/02/2016		D	24,000	10/01/2010 10/01/2018	Common Stock	
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	28,500	10/07/2013 10/07/2021	Common Stock	
Employee Stock Option (Right to Buy)	\$ 27.85	09/02/2016		D	36,700	10/05/2014 10/05/2022	Common Stock	
Employee Stock	\$ 48.37	09/02/2016		D	17,687	11/19/2015 11/19/2023	Common Stock	

Option (Right to Buy)								
Employee Stock Option (Right to Buy)	\$ 46.31	09/02/2016	D	5,931	01/05/2017 <sup>(5)</sup>	01/05/2025	Common Stock	
Employee Stock Option (Right to Buy)	\$ 50.23	09/02/2016	D	19,305	11/18/2016 <sup>(5)</sup>	11/18/2024	Common Stock	
Employee Stock Option (Right to Buy)	\$ 43.86	09/02/2016	D	30,722	10/07/2017 <sup>(5)</sup>	10/07/2025	Common Stock	
Phantom Stock Units - Restricted Stock Plan	(6)	09/02/2016	M	296.691	(7)	(7)	Common Stock	
Phantom Stock Units - Restricted Stock Plan	(6)	09/02/2016	M	3,232.743	(7)	(7)	Common Stock	3

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Williams Jeffrey M 5757 N GREEN BAY AVE MILWAUKEE, WI 53209			VP, Enterprise Ops & Enginrg	

## Signatures

/s/ Catherine M. Walker, attorney-in-fact for Mr. Williams  
 Date: 09/07/2016

\*\*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).

## Edgar Filing: JOHNSON CONTROLS INC - Form 4

- (1) Includes 1,521.29 shares acquired via dividend reinvestment on October 2, 2015, January 5, April 4, July 5 and August 19, 2016 at prices ranging from \$38.58 to \$45.03 per share.  
The balance includes unvested restricted stock units and dividend equivalents that were converted into an equivalent number of restricted
- (2) stock units in Johnson Controls International plc (formerly Tyco International plc) ("JCI plc") in connection with the closing of the merger between Johnson Controls, Inc. ("Johnson Controls") and JCI plc (the "merger").
- (3) Each share of Johnson Controls was converted into 0.8357 ordinary shares of JCI plc and \$5.7293 in cash in connection with the closing of the merger.
- (4) 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.
- (5) Fifty percent of the stock options vest after two years, and the remaining fifty percent vest after three years.
- (6) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (7) 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.
- (8) Includes 1,069.65 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.