

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 *
Bolzenius Beda

(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)
VP, V. Chair APAC and Pres, AE

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		12,259.546	A	\$ 43.86
							162,758.916 (1)
Common Stock	10/07/2015		D		12,259.546	D	\$ 43.86
Common Stock	10/07/2015		A		17,191	A	\$ 0
Common Stock	10/07/2015		A		51,573	A	\$ 0
							167,690.37
							219,263.37

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)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Underlying Security (Instr. 3 and 4)	
					(A)	(D)	Date Exercisable	Expiration Date		
Phantom Stock Units - Restricted Stock Plan	(2)	10/07/2015		M	V	(A) 12,259.546	(D)	(2)	(2)	Common Stock
Employee Stock Option (Right to Buy)	\$ 43.86	10/07/2015		A		57,338		10/07/2017 ⁽⁴⁾	10/07/2025	Common Stock
Employee Stock Option (Right to Buy)	\$ 50.23							11/18/2016 ⁽⁴⁾	11/18/2024	Common Stock
Employee Stock Option (Right to Buy)	\$ 24.87							10/01/2011	10/01/2019	Common Stock
Employee Stock Option (Right to Buy)	\$ 30.54							10/01/2012	10/01/2020	Common Stock
Employee Stock Option (Right to Buy)	\$ 28.54							10/07/2013	10/07/2021	Common Stock
Employee Stock	\$ 27.85							10/05/2014	10/05/2022	Common Stock

Option
(Right to
Buy)

Employee
Stock

Option \$ 48.37
(Right to
Buy)

11/19/2015⁽⁴⁾ 11/19/2023

Comm
Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bolzenius Beda 5757 N. GREEN BAY AVENUE P.O. BOX 591 MILWAUKEE, WI 53201-0591			VP, V. Chair APAC and Pres, AE	

Signatures

/s/ Angela M. Blair, Attorney-in-Fact for Beda
Bolzenius

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) The balance includes 181.526 shares acquired via dividend reinvestment on July 2, 2015 at \$49.44 per unit.

Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock. The phantom stock units are
(2) being accrued under the Johnson Controls Restricted Stock Plan and settle 100% in cash, subject to the vesting of the underlying restricted stock award, upon the reporting person's retirement or termination.

(3) The balance includes 551.243 phantom stock units acquired via dividend reinvestment on January 5, April 2, and July 2, 2015 at prices ranging from \$46.31 to \$50.16 per unit.

(4) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.

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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