

JOHNSON CONTROLS INC
Form 4
September 06, 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

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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 *
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)

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)

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 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		
Common Stock	09/02/2016		M		6,023.19	A	\$ 0 53,122.771 D
Common Stock	09/02/2016		D		6,023.19	D	\$ 48.9 47,099.581 D
Common Stock	09/02/2016		M		13,644.381	A	\$ 0 60,743.962 D
Common Stock	09/02/2016		D		13,644.381	D	\$ 48.9 47,099.581 D
Common Stock	09/02/2016		M		3,391.982	A	\$ 0 50,491.563 D

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Common Stock	09/02/2016		D	3,391.982	D	\$ 48.9	47,099.581	D	
Common Stock	09/02/2016		M	35,154.691	A	\$ 0	82,254.272	D	
Common Stock	09/02/2016		D	35,154.691	D	\$ 48.9	47,099.581	D	
Common Stock	09/02/2016		D	47,099.581	D	0	0	D	
Common Stock	09/02/2016		D	7,396.51	D	0	0	I	By 401(k) Plan Trust

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 (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)	\$ 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	48,000	10/01/2010	10/01/2018	Common Stock
Employee Stock Option (Right to Buy)	\$ 24.87	09/02/2016		D	48,000	10/01/2011	10/01/2019	Common Stock
	\$ 30.54	09/02/2016		D	35,000	10/01/2012	10/01/2020	

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Employee Stock Option (Right to Buy)								Common Stock
Employee Stock Option (Right to Buy)	\$ 28.54	09/02/2016	D	32,500	10/07/2013	10/07/2021		Common Stock
Employee Stock Option (Right to Buy)	\$ 27.85	09/02/2016	D	18,600	10/05/2014	10/05/2022		Common Stock
Employee Stock Option (Right to Buy)	\$ 48.37	09/02/2016	D	12,176	11/19/2015	11/19/2023		Common Stock
Employee Stock Option (Right to Buy)	\$ 50.23	09/02/2016	D	11,840	11/18/2016 ⁽³⁾	11/18/2024		Common Stock
Employee Stock Option (Right to Buy)	\$ 43.86	09/02/2016	D	14,296	10/07/2017 ⁽⁴⁾	10/07/2025		Common Stock
Phantom Stock Units - Long Term Incentive Plan	<u>(5)</u>	09/02/2016	M	6,023.19	<u>(6)</u>	<u>(6)</u>		Common Stock
Phantom Stock Units - Retirement Restoration Plan	<u>(5)</u>	09/02/2016	M	13,644.381	<u>(8)</u>	<u>(8)</u>		Common Stock
Phantom Stock Units - Restricted Stock Plan	\$ 0 <u>(5)</u>	09/02/2016	M	3,391.982	<u>(10)</u>	<u>(10)</u>		Common Stock

Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽⁵⁾	09/02/2016	M	35,154.691	<u>(10)</u>	<u>(10)</u>	Common Stock
Phantom Stock Units - Restricted Stock Plan	\$ 0 ⁽⁵⁾	09/02/2016	D	25,447.269	<u>(10)</u>	<u>(10)</u>	Common Stock

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/ Catherine M. Walker, attorney-in-fact for Frank A. Voltolina 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 become exercisable two years after the grant date; the remaining 50%, three years after grant date.
- (4) Fifty percent of the options vest after two years and the remaining 50% vests after three years.
- (5) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (6) The phantom stock units accrued under the Johnson Controls Long-Term Incentive Plan and were settled 100% in cash.
- (7) Includes 518,474 units acquired via dividend reinvestment on December 28, 2012, April 2, July 2, October 2, 2013, January 6, April 2, July 2, October 2, 2014, January 5, April 2, July 2, October 2, 2015, January 5, April 4, July 5 and August 19, 2016 at prices ranging from \$30.11 to \$50.92 per unit.
- (8) The phantom stock units accrued under the Johnson Controls Retirement Restoration Plan and settled 100% in cash.
- (9) Includes 1,174,505 units acquired via dividend reinvestment on December 28, 2012, April 2, July 2, October 2, 2013, January 6, April 2, July 2, October 2, 2014, January 5, April 2, July 2, October 2, 2015, January 5, April 4, July 5 and August 19, 2016 at prices ranging from \$30.11 to \$50.92 per unit.
- (10) 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.
- (11) Includes 1,840.75 units 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 unit.

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