

JOHNSON CONTROLS INC

Form 3

August 01, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *

Â Bartschat Michael K

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

07/23/2014

3. Issuer Name and Ticker or Trading Symbol
JOHNSON CONTROLS INC [JCI]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

____ Director ____ 10% Owner
☒ Officer ____ Other
 (give title below) (specify below)
 Chief Procurement Officer

6. Individual or Joint/Group Filing(Check Applicable Line)
☒ Form filed by One Reporting Person
 ____ Form filed by More than One Reporting Person

5757 N GREEN BAY AVENUE

(Street)

MILWAUKEE,Â WIÂ 53209

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

11,118.95

D

Â

Common Stock

5,942

I

By Spouse as Trustee

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and Expiration Date
(Month/Day/Year)3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

4. Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

Edgar Filing: JOHNSON CONTROLS INC - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	10/07/2013	10/07/2021	Common Stock	6,250	\$ 28.54	D	Â
Employee Stock Option (Right to Buy)	10/05/2014 ⁽¹⁾	10/05/2022	Common Stock	21,500	\$ 27.85	D	Â
Employee Stock Option (Right to Buy)	11/19/2015 ⁽¹⁾	11/19/2023	Common Stock	11,428	\$ 48.37	D	Â
Phantom Stock Units - Restricted Stock Plan	Â ⁽²⁾	Â ⁽²⁾	Common Stock	368	\$ ⁽³⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bartschat Michael K 5757 N GREEN BAY AVENUE MILWAUKEE, WI 53209	Â	Â	Â Chief Procurement Officer	Â

Signatures

/s/ Angela M. Blair, Attorney-in-Fact for Michael K. Bartschat

08/01/2014

 **Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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 the grant date.
- (2) The phantom stock units accrue under the Johnson Controls Restricted Stock Plan. The balance includes phantom stock and dividend equivalent units that settle 100% in cash and relate to restricted stock awards.
- (3) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.

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.