

JOHNSON CONTROLS INC

Form 4

October 08, 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  
Number: 3235-0287  
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2005  
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burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Bartschat Michael K

(Last) (First) (Middle)

5757 N GREEN BAY AVENUE

(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)

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 \_\_\_\_ Other (specify  
below) below)

VP &amp; Chief Procurement Officer

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)
			Code	V	Amount	(A) or (D) Price			
Common Stock	10/07/2015		F		444	D \$ 43.86	11,891.906 <sup>(1)</sup>	D	
Common Stock	10/07/2015		M		116.659	A \$ 43.86	12,008.565	D	
Common Stock	10/07/2015		D		116.659	D \$ 43.86	11,891.906	D	
Common Stock	10/07/2015		A		3,488	A \$ 0	15,379.906	D	
Common Stock	10/07/2015		A		10,465	A \$ 0	25,844.906	D	

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Common Stock	5,942	I	By Spouse as 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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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 (Instr. 3 and		
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title
Phantom Stock Units - Restricted Stock Plan	(2)	10/07/2015		M		116.659		(3)	(4)	Common Stock
Employee Stock Option (Right to Buy)	\$ 43.86	10/07/2015		A	11,634			10/07/2017(6)	10/07/2025	Common Stock
Employee Stock Option (Right to Buy)	\$ 50.23							11/18/2016(6)	11/18/2024	Common Stock
Employee Stock Option (Right to Buy)	\$ 28.54							10/07/2013	10/07/2021	Common Stock
Employee Stock Option (Right to Buy)	\$ 27.85							10/05/2014	10/05/2022	Common Stock
Employee Stock	\$ 48.37							11/19/2015(6)	11/19/2023	Common Stock

Option  
(Right to  
Buy)

## Reporting Owners

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

## Signatures

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

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 34.672 shares acquired via dividend reinvestment on July 2, 2015 at \$49.44 per unit.
- (2) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (3) The phantom stock units accrue under the Johnson Controls Restricted Stock Plan. The balance includes dividend equivalent units that settle 100% in cash and relate to restricted stock awards.
- (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 86.916 units acquired via dividend reinvestment on July 2, 2015 at \$49.44 per unit.
- (6) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after the 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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