

JOHNSON CONTROLS INC
Form 4
September 06, 2016

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
BLACK NATALIE A

(Last) (First) (Middle)

KOHLER CO., 444 HIGHLAND DRIVE

(Street)

KOHLER, WI 53044

(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)

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 06/06/2014 | | G | V | 13,115 | D | \$ 0 2,875 |
| Common Stock | 08/04/2016 | | G | V | 2,875 | D | \$ 0 0 |
| Common Stock | 09/02/2016 | | M | | 62,255.9 | A | Ⓛ 62,255.9 |
| Common Stock | 09/02/2016 | | M | | 23,943.593 | A | Ⓛ 86,199.493 |
| Common Stock | 09/02/2016 | | D | | 86,199.493 | D | \$ 48.9 0 |

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The phantom stock units accrued under the Johnson Controls Directors' Deferred Compensation Plan and were settled 100% in cash in connection with the merger between Johnson Controls, Inc. ("Johnson Controls") and Johnson Controls International plc (formerly Tyco International plc).

- (2) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (3) Includes 1,271.061 units acquired via dividend reinvestment on April 4, July 5 and August 19, 2016 at prices ranging from \$38.76 to \$45.03 per unit.
- (4) Includes 488.85 units acquired via dividend reinvestment on April 4, July 5 and August 19, 2016 at prices ranging from \$38.76 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.

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