

JOHNSON CONTROLS INC
Form 4
September 07, 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 *
Jackson William C

(Last) (First) (Middle)
5757 N. GREEN BAY AVENUE, P.O. BOX 591
(Street)

MILWAUKEE, WI 53201

(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
X Officer (give title below) ___ Other (specify below)
VP & President, BE

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 | 09/02/2016 | | M | | 847.693 | A | \$ 0 |
| Common Stock | 09/02/2016 | | D | | 847.693 | D | \$ 45.45 |
| Common Stock | 09/02/2016 | | F | | 2,912 | D | \$ 45.45 |
| Common Stock | 09/02/2016 | | M | | 16,812.18 | A | \$ 0 |
| Common Stock | 09/02/2016 | | D | | 16,812.18 | D | \$ 48.9 |

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Common Stock 09/02/2016 D 126,090.835 D \$ 0 ⁽³⁾ 0 D
(1) (2)

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

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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 |
| Phantom Stock Units - Restricted Stock Plan | \$ 0 ⁽⁴⁾ | 09/02/2016 | | M | 847.693 | <u>(5)</u> | <u>(5)</u> | Common Stock |
| Phantom Stock Units - Restricted Stock Plan | \$ 0 ⁽⁴⁾ | 09/02/2016 | | M | 16,812.18 | <u>(5)</u> | <u>(5)</u> | Common Stock |
| Employee Stock Option (Right to Buy) | \$ 43.86 | 09/02/2016 | | D | 49,961 | 10/07/2017 ⁽⁶⁾ | 10/07/2025 | Common Stock |
| Employee Stock Option (Right to Buy) | \$ 50.23 | 09/02/2016 | | D | 41,441 | 11/18/2016 ⁽⁶⁾ | 11/18/2024 | Common Stock |
| Employee Stock Option (Right to Buy) | \$ 27.85 | 09/02/2016 | | D | 53,800 | 10/05/2014 | 10/05/2022 | Common Stock |
| Employee Stock | \$ 28.54 | 09/02/2016 | | D | 86,000 | 10/07/2013 | 10/07/2021 | Common Stock |

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Includes 1,187,671 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.

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.