

JOHNSON CONTROLS INC

Form 3

January 07, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 Williams Jeffrey M

(Last) (First) (Middle)

5757 N GREEN BAY AVE

(Street)

MILWAUKEE,Â WIÂ 53209

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

01/01/2015

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

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other(give title below) (specify below)
VP, Enterprise Ops & Enginrg

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

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 Beneficially Owned**1. 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

59,921.795

D Â

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

SEC 1473 (7-02)

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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)

Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Phantom Stock Units - Restricted Stock Plan	Â (1)	Â (1)	Common Stock	1,786.752	\$ (2)	D	Â
Employee Stock Option (Right to Buy)	10/01/2009	10/01/2017	Common Stock	36,000	\$ 40.21	D	Â
Employee Stock Option (Right to Buy)	10/01/2010	10/01/2018	Common Stock	24,000	\$ 28.79	D	Â
Employee Stock Option (Right to Buy)	10/01/2012	10/01/2020	Common Stock	35,000	\$ 30.54	D	Â
Employee Stock Option (Right to Buy)	10/07/2013	10/07/2021	Common Stock	28,500	\$ 28.54	D	Â
Employee Stock Option (Right to Buy)	10/05/2014 ⁽³⁾	10/05/2022	Common Stock	36,700	\$ 27.85	D	Â
Employee Stock Option (Right to Buy)	11/19/2015 ⁽³⁾	11/19/2023	Common Stock	17,687	\$ 48.37	D	Â
Employee Stock Option (Right to Buy)	11/18/2016 ⁽³⁾	11/18/2024	Common Stock	19,305	\$ 50.23	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Williams Jeffrey M 5757 N GREEN BAY AVE MILWAUKEE, WI 53209	Â	Â	Â	VP, Enterprise Ops & Enginrg	Â

Signatures

/s/ Angela M. Blair, Attorney-in-fact for Mr.
Williams

01/07/2015

__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) 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.
- (2) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (3) Fifty percent of the stock options vest after two years, and the remaining fifty percent vest after three years.

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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