

JOHNSON CONTROLS INC

Form 3

April 07, 2016

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 *

Nevill Trent M

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

04/01/2016

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)
 VP, President, Asia Pacific

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 AVE.

(Street)

MILWAUKEE, WI 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

10,448.603

D

N

Common Stock

7,826.114 ⁽¹⁾

I

by 401(k) Plan Trustee

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)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)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	10/05/2014 ⁽²⁾	10/05/2022	Common Stock	12,900	\$ 27.85	D	Â
Employee Stock Option (Right to Buy)	11/18/2016 ⁽²⁾	11/18/2024	Common Stock	9,652	\$ 50.23	D	Â
Employee Stock Option (Right to Buy)	10/07/2017 ⁽²⁾	10/07/2025	Common Stock	11,406	\$ 43.86	D	Â
Employee Stock Option (Right to Buy)	10/07/2017 ⁽³⁾	03/15/2026	Common Stock	4,427	\$ 37.66	D	Â
Phantom Stock Units - Restricted Stock Plan	Â ⁽⁴⁾	Â ⁽⁴⁾	Common Stock	13,709.571	\$ ⁽⁵⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Nevill Trent M 5757 N. GREEN BAY AVE. MILWAUKEE, WI 53209	Â	Â	Â VP, President, Asia Pacific	Â

Signatures

/s/ Catherine M. Walker, attorney-in-fact for Trent M. Nevill

04/07/2016

__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).

The number of underlying securities is based on the stock fund balance on March 23, 2016. The actual number of shares issuable upon the distribution date is not determinable since the stock fund is a unitized account consisting of 96% company stock and 4% money market fund. The stock account balance reflected in this report is based on an March 23, 2016 stock fund price of \$38.09 per share.

(2) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.

(3) Fifty percent of the options become exercisable on October 7, 2017; the remaining 50%, on October 7, 2018.

(4) 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.

(5) 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.

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