

JOHNSON CONTROLS INC

Form 3

April 07, 2016

FORM 3UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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 Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
VP, President, Asia Pacific6. 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)

**Persons who respond to the collection of
information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.****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
Derivative5. 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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