

JOHNSON CONTROLS INC

Form 4

September 06, 2016

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

Check this box  
if no longer  
subject to  
Section 16.  
Form 4 or  
Form 5  
obligations  
may continue.  
See Instruction  
1(b).

**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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(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 Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	06/06/2014		G	V	13,115	D	\$ 0	2,875	D
Common Stock	08/04/2016		G	V	2,875	D	\$ 0	0	D
Common Stock	09/02/2016		M		62,255.9	A	<u>(1)</u>	62,255.9	D
Common Stock	09/02/2016		M		23,943.593	A	<u>(1)</u>	86,199.493	D
Common Stock	09/02/2016		D		86,199.493	D	\$ 48.9	0	D

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

SEC 1474  
(9-02)

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 Amount Underlying Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number of Shares
Phantom Stock Units / Directors' Deferred Compensation Plan	(2)	09/02/2016		M		62,255.9		(1)	(1)	Common Stock	62,255.9
Phantom Stock Units/ Directors' Share Unit Plan	(2)	09/02/2016		M		23,943.593		(1)	(1)	Common Stock	23,943.593

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BLACK NATALIE A KOHLE R CO. 444 HIGHLAND DRIVE KOHLE R, WI 53044	X			

/s/ Catherine M. Walker, Attorney-in-Fact for Natalie A. Black

09/06/2016

\_\_\_\_Signature of Reporting Person

Date

\* If the form is filed by more than one reporting person, *see* Instruction 4(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)**

## Edgar Filing: JOHNSON CONTROLS INC - Form 4

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.

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.