

JOHNSON CONTROLS INC

Form 4

November 21, 2013

**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  
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2005  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Kessler Brian J

(Last) (First) (Middle)

5757 N. GREEN BAY AVENUE

(Street)

MILWAUKEE, WI 53209

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol

JOHNSON CONTROLS INC [JCI]

3. Date of Earliest Transaction  
(Month/Day/Year)

11/19/2013

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 \_\_\_\_ Other (specify  
below) below)

VP &amp; Pres., Power Solutions

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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of<br>(D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|--------------------------------------|--|--|--|---|
| Common<br>Stock                       | 11/19/2013                              |   | A                                    | 12,280   | A \$ 0   | 52,712.418   | D   |
| Common<br>Stock                       |   |   |                                      |  | 11,046.365<br>(1)  | I  | By 401(k)<br>Plan Trust   |

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

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SEC 1474  
(9-02)

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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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |     | 7. Title and Amount<br>Underlying Securities<br>(Instr. 3 and 4) |                    |                 |                                     |
|---|---|---|---|---|--|--|-----|--|--------------------|-----------------|-------------------------------------|
|   |   |   |   | Code                                    | V  | (A)  | (D) | Date Exercisable   | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of Shares |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 48.37  | 11/19/2013                              |   | A                                       |  | 40,408   |     | 11/19/2015 <sup>(2)</sup>  | 11/19/2023         | Common<br>Stock | 40,408                              |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 22.5617  |   |   |   |  |  |     | 11/16/2007   | 11/16/2015         | Common<br>Stock | 75,000                              |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 23.965   |   |   |   |  |  |     | 10/02/2008   | 10/02/2016         | Common<br>Stock | 60,000                              |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 40.21  |   |   |   |  |  |     | 10/01/2009   | 11/16/2017         | Common<br>Stock | 30,000                              |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 28.79  |   |   |   |  |  |     | 10/01/2010   | 10/01/2018         | Common<br>Stock | 40,000                              |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 24.87  |   |   |   |  |  |     | 10/01/2011   | 10/01/2019         | Common<br>Stock | 40,000                              |
| Employee<br>Stock<br>Option<br>(Right to            | \$ 30.54  |   |   |   |  |  |     | 10/01/2012   | 10/01/2020         | Common<br>Stock | 35,000                              |

Buy)

Employee  
StockOption \$ 28.54  
(Right to  
Buy)10/07/2013<sup>(2)</sup> 10/07/2021Common  
Stock 28,5Employee  
StockOption \$ 27.85  
(Right to  
Buy)10/05/2014<sup>(2)</sup> 10/05/2022Common  
Stock 36,7Employee  
StockOption \$ 30.73  
(Right to  
Buy)01/23/2015<sup>(2)</sup> 01/23/2023Common  
Stock 14,3

## Reporting Owners

| Reporting Owner Name / Address                                     | Relationships |           |                             |       |
|--|---------------|-----------|-----------------------------|-------|
|  | Director      | 10% Owner | Officer                     | Other |
| Kessler Brian J<br>5757 N. GREEN BAY AVENUE<br>MILWAUKEE, WI 53209 |               |           | VP & Pres., Power Solutions |       |

## Signatures

/s/ Angela M. Blair, Attorney-in-Fact for Brian J.  
Kessler

11/21/2013

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

\* 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).

- The number of underlying securities is based on the stock fund balance on November 15, 2013. The actual number of shares issuable
- (1) 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 a November 15, 2013, stock fund price of \$49.45 per share.
- (2) Fifty percent of the options vest after two years and the remaining 50% vests 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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