

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 * |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol                     |  |
| Â Williams Jeffrey M                      |         | (Month/Day/Year)                     | JOHNSON CONTROLS INC [JCI]   |  |
| (Last)                                    | (First) | (Middle)                             | 4. Relationship of Reporting Person(s) to Issuer                       | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| 5757 N GREEN BAY AVE                      |         |                                      | (Check all applicable)   |  |
| (Street)                                  |         |                                      | <input type="checkbox"/> Director                                      | <input type="checkbox"/> 10% Owner                   |
| MILWAUKEE,Â WIÂ 53209                     |         |                                      | <input checked="" type="checkbox"/> Officer                            | <input type="checkbox"/> Other                       |
| (City)                                    | (State) | (Zip)                                | (give title below)   | (specify below)                                      |
|   |         |                                      | VP, Enterprise Ops & Enginrg   |  |
|   |         |                                      | 6. Individual or Joint/Group Filing(Check Applicable Line)             |  |
|   |         |                                      | <input checked="" type="checkbox"/> Form filed by One Reporting Person |  |
|   |         |                                      | <input type="checkbox"/> Form filed by More than One Reporting Person  |  |

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(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)

**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<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security:<br>Direct (D)<br>or Indirect | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|---|---|--|--|--|--|
|   | Date Exercisable  | Expiration Date  | Title  | Amount or Number of  |  |

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|   |               |            |              | Shares    |          | (I)<br>(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 |           |                                |       |
|---|---------------|-----------|--------------------------------|-------|
|   | Director      | 10% Owner | Officer                        | Other |
| Williams Jeffrey M<br>5757 N GREEN BAY AVE<br>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. 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.