

JOHNSON CONTROLS INC
Form 4
November 20, 2014

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Metcalf-Kupres Kimberley

2. Issuer Name and Ticker or Trading Symbol
JOHNSON CONTROLS INC [JCI]

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)

(Last) (First) (Middle)
5757 N GREEN BAY AVENUE
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
11/18/2014

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
VP and Chief Marketing Officer

MILWAUKEE, WI 53209

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

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 Ownership (Instr. 4)
				(A) or (D)	Code V Amount (D) Price		

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

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SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Phantom Stock Units - Restricted Stock Plan	\$ 0	11/18/2014	A	2,906					<u>(1)</u>	<u>(1)</u>	Common Stock	2,906
Employee Stock Option (Right to Buy)	\$ 50.23	11/18/2014	A	9,395					11/18/2016 ⁽²⁾	11/18/2024	Common Stock	9,395
Employee Stock Option (Right to Buy)	\$ 40.21								10/01/2009	10/01/2017	Common Stock	7,200
Employee Stock Option (Right to Buy)	\$ 28.79								10/01/2010	10/01/2018	Common Stock	4,500
Employee Stock Option (Right to Buy)	\$ 30.54								10/01/2012	10/01/2020	Common Stock	9,500
Employee Stock Option (Right to Buy)	\$ 28.54								10/07/2013	10/07/2021	Common Stock	12,500
Employee Stock Option (Right to Buy)	\$ 27.85								10/05/2014 ⁽²⁾	10/05/2022	Common Stock	16,100
Employee Stock Option	\$ 48.37								11/19/2015 ⁽²⁾	11/19/2023	Common Stock	6,802

(Right to Buy)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Metcalf-Kupres Kimberley 5757 N GREEN BAY AVENUE MILWAUKEE, WI 53209			VP and Chief Marketing Officer	

Signatures

/s/ Angela M. Blair, Attorney-in-fact for Kimberley S.
Metcalf-Kupres

11/19/2014

__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).
- (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) 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. 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.