

JOHNSON CONTROLS INC

Form 3

May 30, 2014

**FORM 3**UNITED 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 \*

A Davis Simon

(Last)

(First)

(Middle)

5757 N. GREEN BAY AVE.

(Street)

MILWAUKEE, WI 53209

(City)

(State)

(Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

05/21/2014

3. Issuer Name and Ticker or Trading Symbol  
JOHNSON CONTROLS INC [JCI]4. Relationship of Reporting  
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer ☐ Other  
(give title below) (specify below)  
Vice President & ACHRO5. 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**Table I - Non-Derivative Securities Beneficially Owned**1. 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

14,328.512

D

A

Common Stock

286.7 <sup>(1)</sup>

I

By 401(k) Plan Trust

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)	
Phantom Stock Units - Restricted Stock Plan	Â (2)	Â (2)	Common Stock	162.84	\$ (3)	D	Â
Employee Stock Option (Right to Buy)	10/01/2009	10/01/2017	Common Stock	5,400	\$ 40.21	D	Â
Employee Stock Option (Right to Buy)	10/01/2010	10/01/2018	Common Stock	9,000	\$ 28.79	D	Â
Employee Stock Option (Right to Buy)	10/01/2011	10/01/2019	Common Stock	11,300	\$ 24.87	D	Â
Employee Stock Option (Right to Buy)	10/01/2012	10/01/2020	Common Stock	9,500	\$ 30.54	D	Â
Employee Stock Option (Right to Buy)	10/07/2013	10/07/2021	Common Stock	12,500	\$ 28.54	D	Â
Employee Stock Option (Right to Buy)	10/05/2014(4)	10/05/2022	Common Stock	16,100	\$ 27.85	D	Â
Employee Stock Option (Right to Buy)	11/19/2015(4)	11/19/2023	Common Stock	10,204	\$ 48.37	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Davis Simon 5757 N. GREEN BAY AVE. MILWAUKEE, WI 53209	Â	Â	Â Vice President & ACHRO	Â

## Signatures

/s/ Angela Blair, attorney-in-fact for Simon Davis 05/30/2014

\_\_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 May 21, 2014. 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 a May 21, 2014 stock fund price of \$47.61 per share.

(2) 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 and relate to restricted stock awards.

(3) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.

(4) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.

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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