

JOHNSON CONTROLS INC

Form 3

July 11, 2013

**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 \*

Â Murphy John P

(Last)

(First)

(Middle)

5757 N. GREEN BAY AVENUE

(Street)

MILWAUKEE,Â WIÂ 53209

(City)

(State)

(Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

07/01/2013

3. Issuer Name **and** Ticker or Trading Symbol  
JOHNSON CONTROLS INC [JCI]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☐ Officer ☒ Other

(give title below) (specify below)

Pres., Gbl WorkPlace Solution

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

21,983.124

D

Â

Common Stock

9,849.822

I

By 401(k) Plan Trust <sup>(1)</sup>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	666.815	\$ (3)	D	Â
Phantom Stock Units - Long Term Incentive Plan	Â (4)	Â (4)	Common Stock	12,259.731	\$ (3)	D	Â
Employee Stock Option (Right to Buy)	10/01/2009	10/01/2017	Common Stock	18,000	\$ 40.21	D	Â
Employee Stock Option (Right to Buy)	10/01/2010	10/01/2018	Common Stock	30,000	\$ 28.79	D	Â
Employee Stock Option (Right to Buy)	10/01/2011	10/01/2019	Common Stock	30,000	\$ 24.87	D	Â
Employee Stock Option (Right to Buy)	10/01/2012 <sup>(5)</sup>	10/01/2020	Common Stock	30,000	\$ 30.54	D	Â
Employee Stock Option (Right to Buy)	10/07/2013 <sup>(5)</sup>	10/07/2021	Common Stock	25,000	\$ 28.54	D	Â
Employee Stock Option (Right to Buy)	10/05/2014 <sup>(5)</sup>	10/05/2022	Common Stock	32,200	\$ 27.85	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Murphy John P 5757 N. GREEN BAY AVENUE MILWAUKEE, WI 53209	Â	Â	Â	Pres., Gbl WorkPlace Solution

## Signatures

/s/ Angela Blair, attorney-in-fact for John P. Murphy

07/11/2013

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 July 10, 2013. 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 July 10, 2013 stock fund price of \$36.04 per share.

(2) The restricted stock units accrue under the Johnson Controls Restricted Stock Plan. The balance includes dividend equivalent units that settle 100% in cash and relate to unvested restricted stock awards.

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

(4)

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The phantom stock units were accrued under the Johnson Controls Long-Term Incentive Plan and are to be settled 100% in cash upon the reporting person's termination or retirement from the company.

(5) 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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