Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6047(e), 6057(b), and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

2013

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A This return/report is for:
- [ ] a multiemployer plan;
- [ ] a multiple-employer plan; or
- [X] a single-employer plan;
- [ ] a DFE (specify) ____

B This return/report is:
- [ ] the first return/report;
- [ ] the final return/report;
- [X] an amended return/report;
- [ ] a short plan year return/report (less than 12 months).

C If the plan is a collectively-bargained plan, check here. . . . . ▶ [X]

D Check box if filing under:
- [X] Form 5558;
- [ ] automatic extension;
- [ ] the DFVC program;
- [ ] special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan
YORK INT. CORP. PENSION PLAN NUMBER FOUR

1b Three-digit plan number (PN) ▶ 004

1c Effective date of plan 10/01/1957

2a Plan sponsor's name and address; include room or suite number (employer, if for a single-employer plan)

YORK INTERNATIONAL CORPORATION

JOHNSON CONTROLS, INC.

5757 N GREEN BAY AVENUE
MILWAUKEE, WI 53209

2b Employer Identification Number (EIN)
13-3473472

2c Sponsor's telephone number
414-524-1200

2d Business code (see instructions)
333410

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	10/09/2014	SHERRY WEINBERG
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	10/09/2014	SHERRY WEINBERG
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

Preparer's name (including firm name, if applicable) and address; include room or suite number. (optional)

Preparer's telephone number (optional)

3a Plan administrator's name and address ☐ Same as Plan Sponsor Name ☐ Same as Plan Sponsor Address

EMPLOYEE BENEFITS POLICY COMMITTEE
JOHNSON CONTROLS, INC.
5757 N. GREEN BAY AVENUE
MILWAUKEE, WI 53209-4408

3b Administrator's EIN: 39-0380010

3c Administrator's telephone number: 414-524-1200

4 If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the name, EIN and the plan number from the last return/report:

a Sponsor's name

4b EIN

4c PN

5	Total number of participants at the beginning of the plan year	**5**	1211
6	Number of participants as of the end of the plan year (welfare plans complete only lines **6a, 6b, 6c,** and **6d**).		
a	Active participants	**6a**	140
b	Retired or separated participants receiving benefits	**6b**	654
c	Other retired or separated participants entitled to future benefits	**6c**	66
d	Subtotal. Add lines **6a**, **6b**, and **6c**	**6d**	860
e	Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	195
f	Total. Add lines **6d** and **6e**.	**6f**	1055
g	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	
h	Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	0
7	Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:
1B 3H

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

9a Plan funding arrangement (check all that apply)

(1)	☐	Insurance
(2)	☐	Code section 412(e)(3) insurance contracts
(3)	☒	Trust
(4)	☐	General assets of the sponsor

9b Plan benefit arrangement (check all that apply)

(1)	☐	Insurance
(2)	☐	Code section 412(e)(3) insurance contracts
(3)	☒	Trust
(4)	☐	General assets of the sponsor

10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

(1)	☒	**R** (Retirement Plan Information)
(2)	☐	**MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
(3)	☒	**SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary

b General Schedules

(1)	☒	**H** (Financial Information)
(2)	☐	**I** (Financial Information – Small Plan)
(3)	☐	**A** (Insurance Information)
(4)	☒	**C** (Service Provider Information)
(5)	☒	**D** (DFE/Participating Plan Information)
(6)	☐	**G** (Financial Transaction Schedules)

SCHEDULE SB (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Single-Employer Defined Benefit Plan Actuarial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500 or 5500-SF.**

OMB No. 1210-0110

2013

This Form is Open to Public Inspection

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

▶ **Round off amounts to nearest dollar.**

▶ **Caution:** A penalty of $1,000 will be assessed for late filing of this report unless reasonable cause is established.

A Name of plan
YORK INT. CORP. PENSION PLAN NUMBER FOUR

B Three-digit plan number (PN) ▶ 004

C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF
YORK INTERNATIONAL CORPORATION

D Employer Identification Number (EIN)
13-3473472

E Type of plan: [X] Single [ ] Multiple-A [ ] Multiple-B

F Prior year plan size: [ ] 100 or fewer [ ] 101-500 [X] More than 500

Part I Basic Information

1 Enter the valuation date: Month 01 Day 01 Year 2013

2 Assets:

a Market value	**2a**	105849126
b Actuarial value	**2b**	105849126

3 Funding target/participant count breakdown:

		(1) Number of participants	(2) Funding Target
a For retired participants and beneficiaries receiving payment	**3a**	859	67701839
b For terminated vested participants	**3b**	200	6558635
c For active participants:			
(1) Non-vested benefits	**3c(1)**		2054308
(2) Vested benefits	**3c(2)**		10134233
(3) Total active	**3c(3)**	152	12188541
d Total	**3d**	1211	86449015

4 If the plan is in at-risk status, check the box and complete lines (a) and (b) [ ]

a Funding target disregarding prescribed at-risk assumptions	**4a**	
b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor	**4b**	
5 Effective interest rate	**5**	6.14 %
6 Target normal cost	**6**	331230

Statement by Enrolled Actuary

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

SIGN HERE

Signature of actuary

Date

CHERYL L. DAVIS

Type or print name of actuary

11-04707

Most recent enrollment number

HEWITT ASSOCIATES LLC

Firm name

847-295-5000

Telephone number (including area code)

4 OVERLOOK POINT
LINCOLNSHIRE, IL 60069

Address of the firm

If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions [ ]

Part II Beginning of Year Carryover and Prefunding Balances

		(a) Carryover balance	(b) Prefunding balance
7	Balance at beginning of prior year after applicable adjustments (line 13 from prior year)	1021306	25039518
8	Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	347686	0
9	Amount remaining (line 7 minus line 8)	673620	25039518
10	Interest on line 9 using prior year's actual return of 15.60 %	105085	3906165
11	Prior year's excess contributions to be added to prefunding balance:		
	a Present value of excess contributions (line 38a from prior year)		0
	b Interest on (a) using prior year's effective interest rate of 6.83 % except as otherwise provided (see instructions)		0
	c Total available at beginning of current plan year to add to prefunding balance		0
	d Portion of (c) to be added to prefunding balance		0
12	Other reductions in balances due to elections or deemed elections		
13	Balance at beginning of current year (line 9 + line 10 + line 11d – line 12)	778705	28945683

Part III Funding Percentages

14	Funding target attainment percentage	14	88.05 %
15	Adjusted funding target attainment percentage	15	122.44 %
16	Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement	16	89.83 %
17	If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage	17	%

Part IV Contributions and Liquidity Shortfalls

18 Contributions made to the plan for the plan year by employer(s) and employees:

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
			Totals ► 18(b)		18(c)

19	Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year:		
	a Contributions allocated toward unpaid minimum required contributions from prior years.	19a	0
	b Contributions made to avoid restrictions adjusted to valuation date	19b	0
	c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c	0

20 Quarterly contributions and liquidity shortfalls:

a Did the plan have a "funding shortfall" for the prior year? [X] Yes [ ] No

b If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? [X] Yes [ ] No

c If line 20a is "Yes," see instructions and complete the following table as applicable:

Liquidity shortfall as of end of quarter of this plan year

(1) 1st	(2) 2nd	(3) 3rd	(4) 4th
0	0	0	0

Part V Assumptions Used to Determine Funding Target and Target Normal Cost

21 Discount rate:

a Segment rates:

1st segment:	2nd segment:	3rd segment:	
4.94%	6.15%	6.76 %	☐ N/A, full yield curve used

b Applicable month (enter code)	**21b**	4
22 Weighted average retirement age	**22**	62

23 Mortality table(s) (see instructions) ☐ Prescribed - combined ☒ Prescribed - separate ☐ Substitute

Part VI Miscellaneous Items

24 Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment	☒ Yes	☐ No
25 Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment	☐ Yes	☒ No
26 Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment	☒ Yes	☐ No

27 If the plan is subject to alternative funding rules, enter applicable code and see instructions regarding attachment	**27**	

Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years

28 Unpaid minimum required contributions for all prior years	**28**	
29 Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (line 19a)	**29**	
30 Remaining amount of unpaid minimum required contributions (line 28 minus line 29)	**30**	0

Part VIII Minimum Required Contribution For Current Year

31 Target normal cost and excess assets (see instructions):

a Target normal cost (line 6)	**31a**	331230
b Excess assets, if applicable, but not greater than line 31a	**31b**	

32 Amortization installments:

	Outstanding Balance	Installment
a Net shortfall amortization installment	0	0
b Waiver amortization installment	0	0

33 If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount	**33**	
34 Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33)	**34**	331230

	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement	331230	0	331230

36 Additional cash requirement (line 34 minus line 35)	**36**	
37 Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c)	**37**	

38 Present value of excess contributions for current year (see instructions)

a Total (excess, if any, of line 37 over line 36)	**38a**	0
b Portion included in line 38a attributable to use of prefunding and funding standard carryover balances	**38b**	
39 Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37)	**39**	0
40 Unpaid minimum required contributions for all years	**40**	0

Part IX Pension Funding Relief Under Pension Relief Act of 2010 (See Instructions)

41 If an election was made to use PRA 2010 funding relief for this plan:

a Schedule elected ☐ 2 plus 7 years ☐ 15 years

b Eligible plan year(s) for which the election in line 41a was made ☐ 2008 ☐ 2009 ☐ 2010 ☐ 2011

42 Amount of acceleration adjustment	**42**	
43 Excess installment acceleration amount to be carried over to future plan years	**43**	

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2013** **This Form is Open to Public Inspection.**

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan	**B** Three-digit plan number (PN) ▶	
YORK INT. CORP. PENSION PLAN NUMBER FOUR		004
C Plan sponsor's name as shown on line 2a of Form 5500	**D** Employer Identification Number (EIN)	
YORK INTERNATIONAL CORPORATION	13-3473472	

Part I Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

a Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. . . . . ☐ Yes ☒ No

b If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

AON HEWITT

36-2235791

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
11	ACTUARY	81514	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3 If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)

(complete as many entries as needed)

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

a	Name:	**b** EIN:
c	Position:	
d	Address:	**e** Telephone:

Explanation:

SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

DFE/Participating Plan Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2013

This Form is Open to Public Inspection.

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan
YORK INT. CORP. PENSION PLAN NUMBER FOUR

B Three-digit plan number (PN) ▶ 004

C Plan or DFE sponsor's name as shown on line 2a of Form 5500
YORK INTERNATIONAL CORPORATION

D Employer Identification Number (EIN)
13-3473472

Part I **Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs)**
(Complete as many entries as needed to report all interests in DFEs)

a Name of MTIA, CCT, PSA, or 103-12 IE: JOHNSON CONTROLS MASTER PENSION TRU

b Name of sponsor of entity listed in (a): JOHNSON CONTROLS, INC.

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
39-0380010-024	M	105716133

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN

SCHEDULE H (Form 5500)	Financial Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ▶ **File as an attachment to Form 5500.**	**2013** **This Form is Open to Public Inspection**

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan	**B** Three-digit plan number (PN) ▶	
YORK INT. CORP. PENSION PLAN NUMBER FOUR		004
C Plan sponsor's name as shown on line 2a of Form 5500	**D** Employer Identification Number (EIN)	
YORK INTERNATIONAL CORPORATION	13-3473472	

Part I Asset and Liability Statement

1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)		
(2) Participant contributions	1b(2)		
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)		
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)		
(9) Value of interest in common/collective trusts	1c(9)		
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)	105860007	105716133
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)		
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)		

			(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:			
	(1) Employer securities	1d(1)		
	(2) Employer real property	1d(2)		
e	Buildings and other property used in plan operation	1e		
f	Total assets (add all amounts in lines 1a through 1e)	1f	105860007	105716133
	Liabilities			
g	Benefit claims payable	1g		
h	Operating payables	1h	10881	9014
i	Acquisition indebtedness	1i		
j	Other liabilities	1j		
k	Total liabilities (add all amounts in lines 1g through1j)	1k	10881	9014
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	105849126	105707119

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

	Income		(a) Amount	(b) Total
a	**Contributions:**			
	(1) Received or receivable in cash from: **(A)** Employers	2a(1)(A)		
	(B) Participants	2a(1)(B)		
	(C) Others (including rollovers)	2a(1)(C)		
	(2) Noncash contributions	2a(2)		
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)		
	(B) U.S. Government securities	2b(1)(B)		
	(C) Corporate debt instruments	2b(1)(C)		
	(D) Loans (other than to participants)	2b(1)(D)		
	(E) Participant loans	2b(1)(E)		
	(F) Other	2b(1)(F)		
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		
	(2) Dividends: **(A)** Preferred stock	2b(2)(A)		
	(B) Common stock	2b(2)(B)		
	(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)		
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		
	(3) Rents	2b(3)		
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)		
	(B) Aggregate carrying amount (see instructions)	2b(4)(B)		
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)		
	(B) Other	2b(5)(B)		
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		14447845
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		
c Other income	2c		
d Total income. Add all **income** amounts in column (b) and enter total	2d		14447845
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	14457602	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		14457602
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses: **(1)** Professional fees	2i(1)	81514	
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)		
(4) Other	2i(4)	50736	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		132250
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		14589852
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		-142007
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) [ ] Unqualified **(2)** [ ] Qualified **(3)** [X] Disclaimer **(4)** [ ] Adverse

b Did the accountant perform a limited scope audit pursuant to 29 CFR 2520.103-8 and/or 103-12(d)? [X] Yes [ ] No

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: COLEMAN & WILLIAMS, LTD. **(2)** EIN: 39-1658905

d The opinion of an independent qualified public accountant is **not attached** because:

(1) [ ] This form is filed for a CCT, PSA, or MTIA. **(2)** [ ] It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

		Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	4a		X	
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	4b		X	

			Yes	No	Amount
c	Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	4c		X	
d	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	4d		X	
e	Was this plan covered by a fidelity bond?	4e	X		50000000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	4f		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	4g		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	4h		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	4i	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.)	4j		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	4k		X	
l	Has the plan failed to provide any benefit when due under the plan?	4l		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	4m		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.	4n		X	

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year?
If "Yes," enter the amount of any plan assets that reverted to the employer this year..... ☐ **Yes** ☒ **No** **Amount:**

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	**5b(2)** EIN(s)	**5b(3)** PN(s)

5c If the plan is a defined benefit plan, is it covered under the PBGC insurance program (see ERISA section 4021)? ..... ☐ Yes ☐ No ☐ Not determined

Part V Trust Information (optional)

6a Name of trust	**6b** Trust's EIN

SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Retirement Plan Information

This schedule is required to be filed under section 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2013

This Form is Open to Public Inspection.

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

A Name of plan
YORK INT. CORP. PENSION PLAN NUMBER FOUR

B Three-digit plan number (PN) ▶ 004

C Plan sponsor's name as shown on line 2a of Form 5500
YORK INTERNATIONAL CORPORATION

D Employer Identification Number (EIN)
13-3473472

Part I Distributions

All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions **1** 0

2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):

EIN(s): _____ _____

Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.

3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year **3** 129

Part II Funding Information (If the plan is not subject to the minimum funding requirements of section of 412 of the Internal Revenue Code or ERISA section 302, skip this Part)

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☒ **No** ☐ **N/A**

If the plan is a defined benefit plan, go to line 8.

5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____

If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.

6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived) **6a**

b Enter the amount contributed by the employer to the plan for this plan year **6b**

c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) **6c**

If you completed line 6c, skip lines 8 and 9.

7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ..... ☐ **Yes** ☐ **No** ☒ **N/A**

Part III Amendments

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box. ..... ☒ **Increase** ☐ **Decrease** ☐ **Both** ☐ **No**

Part IV ESOPs (see instructions). If this is not a plan described under Section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.

10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

11 a Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ..... ☐ **Yes** ☐ **No**

12 Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **No**

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

14 Enter the number of participants on whose behalf no contributions were made by an employer as an employer of the participant for:

a The current year	**14a**	
b The plan year immediately preceding the current plan year	**14b**	
c The second preceding plan year	**14c**	

15 Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year	**15a**	
b The corresponding number for the second preceding plan year	**15b**	

16 Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year	**16a**	
b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	**16b**	

17 If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

18 If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment ☐

19 If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

JOHNSON CONTROLS, INC.
PENSION PLANS

FINANCIAL STATEMENTS AND
SUPPLEMENTAL SCHEDULES
YEARS ENDED DECEMBER 31, 2013 AND 2012

JOHNSON CONTROLS, INC. PENSION PLANS
FINANCIAL STATEMENTS AND SUPPLEMENTAL SCHEDULES
YEARS ENDED DECEMBER 31, 2013 AND 2012

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*Note: Other schedules required by Section 2520.103-10 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income and Security Act of 1974 have been omitted because they are not applicable.

COLEMAN & WILLIAMS, LTD.
A Professional Services Firm

INDEPENDENT AUDITORS' REPORT

To the Participants and Administrator of the
Johnson Controls Pension Plans:

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of Johnson Controls Pension Plans (the "Plans" as defined in Note 1), which comprise the statements of net assets available for benefits as of December 31, 2013 and 2012, and the statements of accumulated plan benefits as of January 1, 2013 and 2012, and the related statements of changes in net assets available for benefits and of changes in accumulated plan benefits for the respective years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Plan management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on conducting the audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended, the plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by U.S. Bank, N.A., the trustee of the Plan, except for comparing the information with the related information included in the 2013 financial statements and supplemental schedules. We have been informed by the plan administrator that the trustee holds the Plan's investment assets and executes investment transactions. The plan administrator has obtained a certification from the trustee as of and for the years ended December 31, 2013 and 2012, that the information provided to the plan administrator by the trustee is complete and accurate.

Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

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A Professional Services Firm

Other Matter

The supplemental schedules as listed in the accompanying table of contents, as of and for the year ended December 31, 2013 are required by the Department of Labor's (DOL) Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended, and are presented for the purpose of additional analysis and are not a required part of the financial statements. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on the supplemental schedules referred to above.

Report on Form and Content in Compliance With DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedules, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended.

Coleman & Williams, Ltd.

Milwaukee, Wisconsin
September 23, 2014

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
DECEMBER 31, 2013

	Johnson Controls Pension (001)	Battery Division Hourly (016)	Johnson Controls Production (017)	Techno Trim (046)	ASG Production (006)	York Plan 4 (018)	York Plan 6 (019)
ASSETS							
Investment in Johnson Controls, Inc.							
Master Pension Trust	$ 1,920,545,145	$ 398,262,315	$ 124,047,754	$ 3,292,067	$ 3,522,179	$ 105,716,133	$ 2,937,939
Total assets	1,920,545,145	398,262,315	124,047,754	3,292,067	3,522,179	105,716,133	2,937,939
LIABILITIES							
Accrued administrative expenses	364,460	51,394	52,598	1,961	7,809	9,014	1,925
Total liabilities	364,460	51,394	52,598	1,961	7,809	9,014	1,925
Net assets available for benefits	$ 1,920,180,685	$ 398,210,921	$ 123,995,156	$ 3,290,106	$ 3,514,370	$ 105,707,119	$ 2,936,014

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
DECEMBER 31, 2013

	York Plan 7 (020)	York Plan 12 (023)	York Plan 13 (024)	York Plan 14 (025)	York Plan 15 (026)	York Plan 18 (028)	York Plan 19 (029)
ASSETS							
Investment in Johnson Controls, Inc.							
Master Pension Trust	$ 28,324,156	$ 12,311,914	$ 20,197,651	$ 6,533,568	$ 20,783,012	$ 16,286,774	$ 22,810,003
Total assets	28,324,156	12,311,914	20,197,651	6,533,568	20,783,012	16,286,774	22,810,003
LIABILITIES							
Accrued administrative expenses	10,254	3,402	4,466	5,636	4,367	2,395	13,170
Total liabilities	10,254	3,402	4,466	5,636	4,367	2,395	13,170
Net assets available for benefits	$ 28,313,902	$ 12,308,512	$ 20,193,185	$ 6,527,932	$ 20,778,645	$ 16,284,379	$ 22,796,833

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
DECEMBER 31, 2013

	York Plan 23 (031)	Participating Plans' Total
ASSETS		
Investment in Johnson Controls, Inc.		
Master Pension Trust	$ 12,309,083	$ 2,697,879,693
Total assets	12,309,083	2,697,879,693
LIABILITIES		
Accrued administrative expenses	3,500	536,351
Total liabilities	3,500	536,351
Net assets available for benefits	$ 12,305,583	$ 2,697,343,342

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
DECEMBER 31, 2012

	Johnson Controls Pension (001)	Battery Division Hourly (016)	Johnson Controls Production (017)	Techno Trim (046)	ASG Production (006)	York Plan 4 (018)	York Plan 6 (019)
ASSETS							
Investment in Johnson Controls, Inc.							
Master Pension Trust	$ 2,176,132,392	$ 400,654,281	$ 163,072,998	$ 4,262,353	$ 7,807,399	$ 105,860,007	$ 3,471,307
Total assets	2,176,132,392	400,654,281	163,072,998	4,262,353	7,807,399	105,860,007	3,471,307
LIABILITIES							
Accrued administrative expenses	398,527	57,431	60,420	2,716	10,803	10,881	6,816
Total liabilities	398,527	57,431	60,420	2,716	10,803	10,881	6,816
Net assets available for benefits	$ 2,175,733,865	$ 400,596,850	$ 163,012,578	$ 4,259,637	$ 7,796,596	$ 105,849,126	$ 3,464,491

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
DECEMBER 31, 2012

	York Plan 7 (020)	York Plan 12 (023)	York Plan 13 (024)	York Plan 14 (025)	York Plan 15 (026)	York Plan 18 (028)	York Plan 19 (029)
ASSETS							
Investment in Johnson Controls, Inc.							
Master Pension Trust	$ 32,231,778	$ 13,382,821	$ 21,226,826	$ 7,557,232	$ 20,674,179	$ 17,707,545	$ 23,909,402
Total assets	32,231,778	13,382,821	21,226,826	7,557,232	20,674,179	17,707,545	23,909,402
LIABILITIES							
Accrued administrative expenses	13,761	4,438	5,688	7,961	5,598	3,298	15,591
Total liabilities	13,761	4,438	5,688	7,961	5,598	3,298	15,591
Net assets available for benefits	$ 32,218,017	$ 13,378,383	$ 21,221,138	$ 7,549,271	$ 20,668,581	$ 17,704,247	$ 23,893,811

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
DECEMBER 31, 2012

	York Plan 23 (031)	Participating Plans' Total
ASSETS		
Investment in Johnson Controls, Inc.		
Master Pension Trust	$ 13,109,076	$ 3,011,059,596
Total assets	13,109,076	3,011,059,596
LIABILITIES		
Accrued administrative expenses	8,381	612,310
Total liabilities	8,381	612,310
Net assets available for benefits	$ 13,100,695	$ 3,010,447,286

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
YEAR ENDED DECEMBER 31, 2013

	Johnson Controls Pension (001)	Battery Division Hourly (016)	Johnson Controls Production (017)	Techno Trim (046)	ASG Production (006)	York Plan 4 (018)	York Plan 6 (019)
ADDITIONS							
Additions to plan assets attributed to:							
Investment income							
Plan interest in Johnson Controls, Inc.							
Master Pension Trust	$ 245,268,142	$ 46,934,663	$ 14,301,244	$ 409,290	$ 628,806	$ 14,447,845	$ 414,803
Employer contributions	1,027,189	—	—	—	—	—	—
Total additions	246,295,331	46,934,663	14,301,244	409,290	628,806	14,447,845	414,803
DEDUCTIONS							
Deductions from plan assets attributed to:							
Benefits paid to participants	498,389,300	48,741,520	52,743,198	1,332,928	4,786,453	14,457,602	891,589
Administrative expenses	3,459,211	579,072	575,468	45,893	124,579	132,250	51,691
Total deductions	501,848,511	49,320,592	53,318,666	1,378,821	4,911,032	14,589,852	943,280
Net decrease	(255,553,180)	(2,385,929)	(39,017,422)	(969,531)	(4,282,226)	(142,007)	(528,477)
Net assets available for benefits, beginning of year	2,175,733,865	400,596,850	163,012,578	4,259,637	7,796,596	105,849,126	3,464,491
Net assets available for benefits, end of year	$ 1,920,180,685	$ 398,210,921	$ 123,995,156	$ 3,290,106	$ 3,514,370	$ 105,707,119	$ 2,936,014

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
YEAR ENDED DECEMBER 31, 2013

	York Plan 7 (020)	York Plan 12 (023)	York Plan 13 (024)	York Plan 14 (025)	York Plan 15 (026)	York Plan 18 (028)	York Plan 19 (029)
ADDITIONS							
Additions to plan assets attributed to:							
Investment income							
Plan interest in Johnson Controls, Inc.							
Master Pension Trust	$ 3,414,673	$ 1,425,288	$ 2,505,444	$ 836,450	$ 2,215,900	$ 1,907,287	$ 2,693,995
Employer contributions	—	—	—	—	—	—	—
Total additions	3,414,673	1,425,288	2,505,444	836,450	2,215,900	1,907,287	2,693,995
DEDUCTIONS							
Deductions from plan assets attributed to:							
Benefits paid to participants	7,172,283	2,427,591	3,453,936	1,782,791	2,020,188	3,270,576	3,639,314
Administrative expenses	146,505	67,568	79,461	74,998	85,648	56,579	151,659
Total deductions	7,318,788	2,495,159	3,533,397	1,857,789	2,105,836	3,327,155	3,790,973
Net increase (decrease)	(3,904,115)	(1,069,871)	(1,027,953)	(1,021,339)	110,064	(1,419,868)	(1,096,978)
Net assets available for benefits, beginning of year	32,218,017	13,378,383	21,221,138	7,549,271	20,668,581	17,704,247	23,893,811
Net assets available for benefits, end of year	$ 28,313,902	$ 12,308,512	$ 20,193,185	$ 6,527,932	$ 20,778,645	$ 16,284,379	$ 22,796,833

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
YEAR ENDED DECEMBER 31, 2013

	York Plan 23 (031)	Participating Plans' Total
ADDITIONS		
Additions to plan assets attributed to:		
Investment income		
Plan interest in Johnson Controls, Inc.		
Master Pension Trust	$ 1,518,029	$ 338,921,859
Employer contributions	—	1,027,189
Total additions	1,518,029	339,949,048
DEDUCTIONS		
Deductions from plan assets attributed to:		
Benefits paid to participants	2,249,618	647,358,887
Administrative expenses	63,523	5,694,105
Total deductions	2,313,141	653,052,992
Net decrease	(795,112)	(313,103,944)
Net assets available for benefits, beginning of year	13,100,695	3,010,447,286
Net assets available for benefits, end of year	$ 12,305,583	$ 2,697,343,342

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
YEAR ENDED DECEMBER 31, 2012

	Johnson Controls Pension (001)	Battery Division Hourly (016)	Johnson Controls Production (017)	Techno Trim (046)	ASG Production (006)	York Plan 4 (018)	York Plan 6 (019)
ADDITIONS							
Additions to plan assets attributed to:							
Investment income							
Plan interest in Johnson Controls, Inc.							
Master Pension Trust	$ 298,963,040	$ 54,209,681	$ 21,671,364	$ 567,558	$ 1,044,930	$ 14,982,159	$ 475,595
Employer contributions	977,724	—	—	—	—	—	—
Total additions	299,940,764	54,209,681	21,671,364	567,558	1,044,930	14,982,159	475,595
DEDUCTIONS							
Deductions from plan assets attributed to:							
Benefits paid to participants	110,236,807	14,991,116	9,037,090	234,412	52,495	9,984,389	113,302
Administrative expenses	3,011,769	511,448	496,973	27,696	91,807	121,396	45,254
Total deductions	113,248,576	15,502,564	9,534,063	262,108	144,302	10,105,785	158,556
Net increase	186,692,188	38,707,117	12,137,301	305,450	900,628	4,876,374	317,039
Net assets available for benefits, beginning of year	1,989,041,677	361,889,733	150,875,277	3,954,187	6,895,968	100,972,752	3,147,452
Net assets available for benefits, end of year	$ 2,175,733,865	$ 400,596,850	$ 163,012,578	$ 4,259,637	$ 7,796,596	$ 105,849,126	$ 3,464,491

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
YEAR ENDED DECEMBER 31, 2012

	York Plan 7 (020)	York Plan 12 (023)	York Plan 13 (024)	York Plan 14 (025)	York Plan 15 (026)	York Plan 18 (028)	York Plan 19 (029)
ADDITIONS							
Additions to plan assets attributed to:							
Investment income							
Plan interest in Johnson Controls, Inc.							
Master Pension Trust	$ 4,326,381	$ 1,795,077	$ 2,865,507	$ 1,015,019	$ 2,812,780	$ 2,377,936	$ 3,221,241
Employer contributions	—	—	—	—	—	—	—
Total additions	4,326,381	1,795,077	2,865,507	1,015,019	2,812,780	2,377,936	3,221,241
DEDUCTIONS							
Deductions from plan assets attributed to:							
Benefits paid to participants	774,693	255,157	845,361	79,942	694,387	528,931	504,930
Administrative expenses	122,862	55,336	63,892	65,820	66,173	46,340	132,004
Total deductions	897,555	310,493	909,253	145,762	760,560	575,271	636,934
Net increase	3,428,826	1,484,584	1,956,254	869,257	2,052,220	1,802,665	2,584,307
Net assets available for benefits, beginning of year	28,789,191	11,893,799	19,264,884	6,680,014	18,616,361	15,901,582	21,309,504
Net assets available for benefits, end of year	$ 32,218,017	$ 13,378,383	$ 21,221,138	$ 7,549,271	$ 20,668,581	$ 17,704,247	$ 23,893,811

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
YEAR ENDED DECEMBER 31, 2012

	York Plan 23 (031)	Participating Plans' Total
ADDITIONS		
Additions to plan assets attributed to:		
Investment income		
Plan interest in Johnson Controls, Inc.		
Master Pension Trust	$ 1,794,590	$ 412,122,858
Employer contributions	—	977,724
Total additions	1,794,590	413,100,582
DEDUCTIONS		
Deductions from plan assets attributed to:		
Benefits paid to participants	430,927	148,763,939
Administrative expenses	56,871	4,915,641
Total deductions	487,798	153,679,580
Net increase	1,306,792	259,421,002
Net assets available for benefits, beginning of year	11,793,903	2,751,026,284
Net assets available for benefits, end of year	$ 13,100,695	$ 3,010,447,286

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF ACCUMULATED PLAN BENEFITS
JANUARY 1, 2013

	Johnson Controls Pension (001)	Battery Division Hourly (016)	Johnson Controls Production (017)	Techno Trim (046)	ASG Production (006)	York Plan 4 (018)	York Plan 6 (019)
Actuarial present value of accumulated plan benefits:							
Vested benefits							
Participants currently receiving payments	$ 528,753,062	$ 142,541,497	$ 73,724,908	$ 1,411,712	$ 429,294	$ 59,284,969	$ 918,586
Other participants	1,074,055,105	124,817,832	36,830,848	1,767,799	3,937,122	17,400,689	1,206,140
	1,602,808,167	267,359,329	110,555,756	3,179,511	4,366,416	76,685,658	2,124,726
Nonvested benefits	77,991,849	7,738,918	190,405	31,452	393,582	1,924,316	111,836
Total actuarial present value of accumulated plan benefits	$ 1,680,800,016	$ 275,098,247	$ 110,746,161	$ 3,210,963	$ 4,759,998	$ 78,609,974	$ 2,236,562

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF ACCUMULATED PLAN BENEFITS
JANUARY 1, 2013

	York Plan 7 (020)	York Plan 12 (023)	York Plan 13 (024)	York Plan 14 (025)	York Plan 15 (026)	York Plan 18 (028)	York Plan 19 (029)
Actuarial present value of accumulated plan benefits:							
Vested benefits							
Participants currently receiving payments	$ 7,050,014	$ 2,677,678	$ 6,884,941	$ 783,074	$ 5,840,852	$ 4,839,736	$ 4,383,334
Other participants	14,143,632	5,716,838	6,529,418	3,966,732	7,607,641	6,884,419	11,017,203
	21,193,646	8,394,516	13,414,359	4,749,806	13,448,493	11,724,155	15,400,537
Nonvested benefits	—	78,439	45,222	103,294	204,002	32,195	687,816
Total actuarial present value of accumulated plan benefits	$ 21,193,646	$ 8,472,955	$ 13,459,581	$ 4,853,100	$ 13,652,495	$ 11,756,350	$ 16,088,353

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF ACCUMULATED PLAN BENEFITS
JANUARY 1, 2013

	York Plan 23 (031)	Participating Plans' Total
Actuarial present value of accumulated plan benefits:		
Vested benefits		
Participants currently receiving payments	$ 3,859,282	$ 843,382,939
Other participants	4,929,194	1,320,810,612
	8,788,476	2,164,193,551
Nonvested benefits	76,580	89,609,906
Total actuarial present value of accumulated plan benefits	$ 8,865,056	$ 2,253,803,457

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF ACCUMULATED PLAN BENEFITS
JANUARY 1, 2012

	Johnson Controls Pension (001)	Battery Division Hourly (016)	Johnson Controls Production (017)	Techno Trim (046)	ASG Production (006)	York Plan 4 (018)	York Plan 6 (019)
Actuarial present value of accumulated plan benefits:							
Vested benefits							
Participants currently receiving payments	$ 521,361,113	$ 131,534,196	$ 72,479,155	$ 1,231,880	$ 282,597	$ 60,288,534	$ 930,310
Other participants	987,217,712	122,759,981	36,759,150	1,828,990	3,463,382	16,219,591	1,112,499
	1,508,578,825	254,294,177	109,238,305	3,060,870	3,745,979	76,508,125	2,042,809
Nonvested benefits	91,859,331	7,689,315	787,411	50,162	530,606	2,773,640	97,638
Total actuarial present value of accumulated plan benefits	$ 1,600,438,156	$ 261,983,492	$ 110,025,716	$ 3,111,032	$ 4,276,585	$ 79,281,765	$ 2,140,447

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF ACCUMULATED PLAN BENEFITS
JANUARY 1, 2012

	York Plan 7 (020)	York Plan 12 (023)	York Plan 13 (024)	York Plan 14 (025)	York Plan 15 (026)	York Plan 18 (028)	York Plan 19 (029)
Actuarial present value of accumulated plan benefits:							
Vested benefits							
Participants currently receiving payments	$ 6,292,673	$ 1,920,411	$ 6,656,738	$ 568,945	$ 5,721,382	$ 4,532,945	$ 4,266,589
Other participants	13,610,336	5,931,204	6,575,851	3,724,836	7,155,900	6,777,084	9,885,825
	19,903,009	7,851,615	13,232,589	4,293,781	12,877,282	11,310,029	14,152,414
Nonvested benefits	—	69,679	57,299	123,201	205,702	43,883	634,088
Total actuarial present value of accumulated plan benefits	$ 19,903,009	$ 7,921,294	$ 13,289,888	$ 4,416,982	$ 13,082,984	$ 11,353,912	$ 14,786,502

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF ACCUMULATED PLAN BENEFITS
JANUARY 1, 2012

	York Plan 23 (031)	Participating Plans' Total
Actuarial present value of accumulated plan benefits:		
Vested benefits		
Participants currently receiving payments	$ 3,711,498	$ 821,778,966
Other participants	4,581,559	1,227,603,900
	8,293,057	2,049,382,866
Nonvested benefits	77,390	104,999,345
Total actuarial present value of accumulated plan benefits	$ 8,370,447	$ 2,154,382,211

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS
YEAR ENDED JANUARY 1, 2013

	Johnson Controls Pension (001)	Battery Division Hourly (016)	Johnson Controls Production (017)	Techno Trim (046)	ASG Production (006)	York Plan 4 (018)	York Plan 6 (019)
Actuarial present value of accumulated plan benefits at January 1, 2012	$ 1,600,438,156	$ 261,983,492	$ 110,025,716	$ 3,111,032	$ 4,276,585	$ 79,281,765	$ 2,140,447
Increase (decrease) attributed to:							
Interest accumulation	123,710,409	20,370,571	8,447,528	239,686	340,067	5,950,849	166,791
Benefits paid	(110,236,807)	(14,991,116)	(9,037,090)	(234,412)	(52,495)	(9,984,389)	(113,302)
Assumption changes	9,377,379	425,955	192,296	29,720	8,928	162,468	4,464
Plan amendments	—	283,796	—	—	—	—	—
Other*	57,510,879	7,025,549	1,117,711	64,937	186,913	3,199,281	38,162
Net increase (decrease)	80,361,860	13,114,755	720,445	99,931	483,413	(671,791)	96,115
Actuarial present value of accumulated plan benefits at January 1, 2013	$ 1,680,800,016	$ 275,098,247	$ 110,746,161	$ 3,210,963	$ 4,759,998	$ 78,609,974	$ 2,236,562

*The "Other" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefits accruals (if any) and those items of plan experience that are not associated with plan asset performance.

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS
YEAR ENDED JANUARY 1, 2013

	York Plan 7 (020)	York Plan 12 (023)	York Plan 13 (024)	York Plan 14 (025)	York Plan 15 (026)	York Plan 18 (028)	York Plan 19 (029)
Actuarial present value of accumulated plan benefits at January 1, 2012	$ 19,903,009	$ 7,921,294	$ 13,289,888	$ 4,416,982	$ 13,082,984	$ 11,353,912	$ 14,786,502
Increase (decrease) attributed to:							
Interest accumulation	1,561,849	623,694	1,030,027	350,222	1,019,398	887,563	1,163,112
Benefits paid	(774,693)	(255,157)	(845,361)	(79,942)	(694,387)	(528,931)	(504,930)
Assumption changes	36,783	15,954	24,344	9,056	23,773	19,566	27,093
Plan amendments	—	—	—	—	124,568	—	—
Other*	466,698	167,170	(39,317)	156,782	96,159	24,240	616,576
Net increase	1,290,637	551,661	169,693	436,118	569,511	402,438	1,301,851
Actuarial present value of accumulated plan benefits at January 1, 2013	$ 21,193,646	$ 8,472,955	$ 13,459,581	$ 4,853,100	$ 13,652,495	$ 11,756,350	$ 16,088,353

*The "Other" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefits accruals (if any) and those items of plan experience that are not associated with plan asset performance.

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS
YEAR ENDED JANUARY 1, 2013

	York Plan 23 (031)	Participating Plans' Total
Actuarial present value of accumulated plan benefits at January 1, 2012	$ 8,370,447	$ 2,154,382,211
Increase (decrease) attributed to:		
Interest accumulation	652,730	166,514,496
Benefits paid	(430,927)	(148,763,939)
Assumption changes	15,587	10,373,366
Plan amendments	—	408,364
Other*	257,219	70,888,959
Net increase	494,609	99,421,246
Actuarial present value of accumulated plan benefits at January 1, 2013	$ 8,865,056	$ 2,253,803,457

*The "Other" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefits accruals (if any) and those items of plan experience that are not associated with plan asset performance.

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS
YEAR ENDED JANUARY 1, 2012

	Johnson Controls Pension (001)	Battery Division Hourly (016)	Johnson Controls Production (017)	Techno Trim (046)	ASG Production (006)	York Plan 4 (018)	York Plan 6 (019)
Actuarial present value of accumulated plan benefits at January 1, 2011	$ 1,431,366,577	$ 250,458,068	$ 109,806,723	$ 2,910,136	$ 3,696,242	$ 83,105,078	$ 2,135,539
Increase (decrease) attributed to:							
Interest accumulation	110,318,040	19,481,973	8,442,072	225,114	294,517	6,215,090	165,823
Benefits paid	(106,837,477)	(14,138,819)	(8,729,579)	(196,199)	(30,132)	(11,045,408)	(127,955)
Assumption changes	101,165,696	403,814	192,608	156,656	8,268	903,088	4,352
Plan amendments	—	560,411	—	—	—	—	—
Other*	64,425,320	5,218,045	313,892	15,325	307,690	103,917	(37,312)
Net increase (decrease)	169,071,579	11,525,424	218,993	200,896	580,343	(3,823,313)	4,908
Actuarial present value of accumulated plan benefits at January 1, 2012	$ 1,600,438,156	$ 261,983,492	$ 110,025,716	$ 3,111,032	$ 4,276,585	$ 79,281,765	$ 2,140,447

*The "Other" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefits accruals (if any) and those items of plan experience that are not associated with plan asset performance.

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS
YEAR ENDED JANUARY 1, 2012

	York Plan 7 (020)	York Plan 12 (023)	York Plan 13 (024)	York Plan 14 (025)	York Plan 15 (026)	York Plan 18 (028)	York Plan 19 (029)
Actuarial present value of accumulated plan benefits at January 1, 2011	$ 18,774,607	$ 7,495,213	$ 12,822,387	$ 4,052,809	$ 12,514,122	$ 11,034,842	$ 13,228,615
Increase (decrease) attributed to:							
Interest accumulation	1,475,549	591,029	995,190	321,399	975,403	863,599	1,040,827
Benefits paid	(673,453)	(218,922)	(780,038)	(72,027)	(655,785)	(489,126)	(445,123)
Assumption changes	34,302	14,972	24,157	8,260	22,604	18,762	24,665
Plan amendments	—	—	—	—	60,729	—	166,922
Other*	292,004	39,002	228,192	106,541	165,911	(74,165)	770,596
Net increase	1,128,402	426,081	467,501	364,173	568,862	319,070	1,557,887
Actuarial present value of accumulated plan benefits at January 1, 2012	$ 19,903,009	$ 7,921,294	$ 13,289,888	$ 4,416,982	$ 13,082,984	$ 11,353,912	$ 14,786,502

*The "Other" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefits accruals (if any) and those items of plan experience that are not associated with plan asset performance.

See the notes to the financial statements

JOHNSON CONTROLS, INC. PENSION PLANS
STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS
YEAR ENDED JANUARY 1, 2012

	York Plan 23 (031)	Participating Plans' Total
Actuarial present value of accumulated plan benefits at January 1, 2011	$ 7,834,392	$ 1,971,235,350
Increase (decrease) attributed to:		
Interest accumulation	610,865	152,016,490
Benefits paid	(404,937)	(144,844,980)
Assumption changes	14,540	102,996,744
Plan amendments	—	788,062
Other*	315,587	72,190,545
Net increase	536,055	183,146,861
Actuarial present value of accumulated plan benefits at January 1, 2012	$ 8,370,447	$ 2,154,382,211

*The "Other" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefits accruals (if any) and those items of plan experience that are not associated with plan asset performance.

See the notes to the financial statements

NOTE 1 - DESCRIPTION OF PLANS

The following description of Johnson Controls, Inc. Pension Plans (the "Plans") provides only general information. Participants should refer to the Summary Plan Description provided to all participants for a more complete description of the Plans' provisions.

GENERAL

The Plans are defined benefit pension plans that cover eligible employees of Johnson Controls, Inc. and designated affiliates (the "Company"). The Plans are subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA").

The Plans are administered by the Employee Benefit Policy Committee appointed by the Company. The Company has contracted with Aon Hewitt for plan administration.

Plans included in the financial statements are as follows (Plan numbers indicate Johnson Controls, Inc. Master Pension Trust ("Master Trust") account numbers, not Plan numbers filed with the Internal Revenue Service ("IRS")).

Name of Plan	Eligible Employees (Subject to Other Plan Requirements)
Johnson Controls Pension Plan (Johnson Controls Pension - Plan 001)	Salaried, nonunion production employees and certain hourly union employees (whose labor agreements call for their participation in this plan) of Johnson Controls, Inc. and some of its affiliated companies; Vintec employees who were members of the Vintec Pension Plan and employees of York International Corporation who were members of York International Pension Plan No. 1; Union production employees of the Company's Shelbyville, Kentucky plant who were members of the Johnson Controls Pension Plan/ASG Shelbyville Production Employees
Johnson Controls Pension Plan Battery Division Hourly Employees (Battery Division Hourly - Plan 016)	Power Solutions union hourly employees, whose labor agreements call for their participation in this plan (excludes former union hourly employees who were covered by the Johnson Controls Pension Plan Battery Division/ Owosso UAW)
Johnson Controls Production Pension Plan - Formerly known as Johnson Controls Pension Division Owosso UAW Employees (Johnson Controls Production 017)	The following union employees are covered by this plan: Hourly employees of the Company's Power Solutions business Owosso, Michigan plant; Building Efficiency plant in Lexington, Kentucky; Hoover's Automotive Systems Group's Adrian, Michigan, Chester, Pennsylvania, and Vincennes, Indiana plants, Whitmore Lake, Michigan plant; Hoover's Engineered Plastics Division Erie, Pennsylvania plant; Production employees of the Company's Milwaukee, Wisconsin production facilities, except production employees of the Company's Power Solutions business, who are covered by another defined benefit pension plan; Production hourly employees of the Company's Building Efficiency business Goshen, Indiana plant; Production hourly employees of the Company's Building Efficiency business Watertown, Wisconsin plant; Union hourly production and maintenance employees of the Mt. Clemens, Michigan facility; Union hourly production and maintenance employees of the Plymouth, Michigan seating facility; Hourly employees of Hoover's Automotive Systems Group, Oberlin, Ohio plant; Hourly employees of Hoover's Automotive Systems Group, Johns Creek, Georgia plant; Union and nonunion hourly employees of the Madisonville, Kentucky and Medina, Ohio plants; Elyria and Miller Picking for employees represented by the United Steelworkers plants; Hourly employees of Hoover's Automotive Systems Group Caidz, Kentucky plant; Hourly employees of Hoover's Automotive Systems Group Greenfield, Ohio plant; and Union production employees of the Company's West Carrolton, Ohio plant All of the above groups are closed facilities of the Company. The plans covering these former employees were all subsequently merged into this plan.

Name of Plan	Eligible Employees (Subject to Other Plan Requirements)
Techno Trim, Inc. Pension Plan for Salaried Employees (Techno Trim - Plan 046)	Salaried employees of TechnoTrim
Johnson Controls Automotive Systems Group Production Employees Pension Plan (ASG Production - Plan 018)	Union hourly employees of the Battle Creek, Michigan; Oklahoma City, Oklahoma; Earth City, Missouri; Shreveport, Louisiana and Kansas City, KS plants (Oklahoma City, Earth City and Shreveport plants are closed)
York International Corporation Pension Plan Number Four (UAW) (York Plan 4 - Plan 018)	Employees at the Company's York, PA location who are subject to the terms and conditions of the Collective Bargaining Agreement between the Company and the International Union, United Automobile, Aerospace, and Agricultural Implement Workers of America, UAW and Local Union No. 1872 (Grantley plant)
York International Corporation Pension Plan Number Six (Field Wage) (York Plan 6 - Plan 019)	Certain nonunion hourly field wage employees of the Engineered Systems Division
York International Corporation Pension Plan Number Seven (Norman Plant) (York Plan 7 - Plan 020)	Nonunion hourly employees of the Norman, Oklahoma plant
York International Corporation Pension Plan Number Twelve (York Plan 12 - Plan 023)	Nonunion employees of the Frigid Coil East division, (E. York, PA), Tempmaster and former salaried employees of the Portland, Oregon and Salisbury, Maryland facilities
York International Corporation Pension Plan Number Thirteen (York Plan 13 - Plan 024)	Salaried and non-bargaining hourly employees in the Frigid Coil West, Imeco and Frick (Waynesboro, PA) divisions
York International Corporation Pension Plan Number Fourteen (York Plan 14 - Plan 025)	Salaried and nonunion hourly employees at the Engineered Systems and the San Antonio, Texas plants
York International Corporation Pension Plan Number Fifteen (York Plan 15 - Plan 026)	Union hourly employees of the Frick Waynesboro, PA location
York International Corporation Pension Plan Number Eighteen (York Plan 18 - Plan 028)	Salaried employees at the Company's Wichita, KS location (formerly York Evcon)
York International Corporation Pension Plan Number Nineteen (York Plan 19 - Plan 029)	Union hourly employees at the Wichita, KS location (formerly Evcon Industries, Inc.) including employees covered by the Collective Bargaining Agreement with the International Association of Machinists and Aerospace Workers AFL-CIO District 70, Local 2799
York International Corporation Miller-Picking Pension Plan (York Plan 23 - Plan 031)	Nonunion employees of the Miller-Picking Hattiesburg, MS and Johnstown, PA locations

VESTING

Vesting is measured either by the hours of service or by elapsed time. The method used depends on the specific provision in each pension plan. Generally, after 5 years of vesting service, under either method, the employee's pension is 100% vested.

FUNDING POLICY

The Company's funding policy is to make contributions to the Plans in amounts that meet or exceed the minimum amounts required by ERISA. The Company's contributions for the years ended December 31, 2013 and 2012 met or exceeded the ERISA required minimum amounts.

Although it has not expressed any intention to do so, the Company has the right under the Plans to discontinue its contributions at any time and to terminate the Plans subject to the provisions set forth in ERISA.

ADMINISTRATIVE EXPENSES

Administrative expenses are paid by the Plans, as allowed by the Plans' provisions, with all remaining expenses paid by the Company.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

BASIS OF PRESENTATION

The accompanying financial statements are prepared on the accrual basis of accounting.

USE OF ESTIMATES

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America ("U.S. GAAP") requires management to make estimates and assumptions that affect the reported amounts of assets, liabilities and changes therein, disclosure of contingent assets and liabilities, and the actuarial present value of accumulated plan benefits at the date of the financial statements. Actual results could differ from those estimates.

JOHNSON CONTROLS MASTER PENSION TRUST

The Company has entered into a master trust agreement with U.S. Bank, N.A. (the "Trustee"). Under the agreement, the Plans participate under a master trust arrangement whereby all the assets of the Plans are pooled and invested in one or more investment accounts.

The Master Trust holds investments in short-term securities, U.S. government securities, bonds, mutual and pooled equity funds, and common stocks as of December 31, 2013 and 2012.

The Company requires collateral at a minimum of 102% of the value of any securities lending transactions.

Each plan's interest in the investments of the Master Trust is evidenced by units of participation, as no plan has a right, title or ownership of any of the specific assets in the Master Trust. In accordance with the master trust agreement, net investment income or loss of the Master Trust is prorated to each participating plan in proportion to the number of units held by each plan. Plan participation in the Master Trust is adjusted as required to reflect benefit payments to the Plans' participants and for Company contributions.

The following represents the percentage interest in the Master Trust by plan:

	December 31,	
	2013	2012
Johnson Controls Pension (001)	70.9%	72.1%
Battery Division Hourly (016)	14.7%	13.2%
Johnson Controls Production (017)	4.6%	5.4%
Techno Trim (046)	0.1%	0.1%
ASG Production (006)	0.1%	0.3%
JCIM US, LLC (035)*	0.3%	0.3%
York Plan 4 (018)	3.9%	3.5%
York Plan 6 (019)	0.1%	0.1%
York Plan 7 (020)	1.1%	1.1%
York Plan 12 (023)	0.5%	0.4%
York Plan 13 (024)	0.8%	0.7%
York Plan 14 (025)	0.2%	0.3%
York Plan 15 (026)	0.8%	0.7%
York Plan 18 (028)	0.6%	0.6%
York Plan 19 (029)	0.8%	0.8%
York Plan 23 (031)	0.5%	0.4%
Total	100.0%	100.0%

*The JCIM US, LLC plan, which is included in the Master Trust, has a June 30 year end. As such, a separate report is prepared for each plan year.

The statements of financial position as of December 31, 2013 and 2012 and the statement of operations and changes in participating Plans' equity of the Master Trust for the year ended December 31, 2013 are presented in Note 9.

DATE OF MANAGEMENT'S REVIEW

Management has evaluated subsequent events through September 23, 2014, the date which the financial statements were available to be issued.

NOTE 3 - INVESTMENTS

Assets of the Plans, with the exception of accrued administrative expenses as shown in the statements of net assets available for benefits, investment income as shown in the statements of changes in net assets available for benefits and the Master Trust financial information appearing in Note 9, have been derived from information prepared and certified as complete and accurate by the Trustee, in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

NOTE 4 - ACTUARIAL PRESENT VALUE OF ACCUMULATED PLAN BENEFITS

Accumulated plan benefits are those future periodic payments that are attributable under the Plans' benefit provisions based on employees' years of service. Benefits to be provided via annuity contracts excluded from plan assets are excluded from accumulated plan benefits. The actuarial present value of accumulated plan benefits is determined by an actuary and is the amount that results from applying actuarial assumptions to adjust the accumulated plan benefits to reflect the time value of money and the probability of payment between the valuation date and the expected date of payment. The actuarial assumptions used for the January 1, 2013 and 2012 valuations are based on the Standard Unit Credit Cost Method for all Plans. The current actuarial assumptions are based on the presumption that the Plans will continue. If the Plans were to terminate, different actuarial assumptions and other factors might be applicable in determining the actuarial present value of accumulated plan benefits.

The actuarial present value of accumulated plan benefits is determined by Aon Hewitt.

The significant actuarial assumptions used in the valuations at January 1, 2013 and 2012 were as follows:

Description	Assumption	
Retirement Age	Varies based on the probability of retirement social security retirement age of 65 to 67, with 100% at age 70.	
Mortality Rates	2013: 2013 Static Mortality Table for annuitants and non-annuitants. 2012: 2012 Static Mortality Table for annuitants and non-annuitants.	
Withdrawal Rates	A graduated scale from higher to lower as years of service increase.	
Disability Rates	A graduated scale from lower to higher as age advances.	
Interest Rates	2013: Based on segment rates with a four month lookback (as of September 2012), as follows: 1st Segment Rate - 4.94% 2nd Segment Rate - 6.15% 3rd Segment Rate - 6.76%	2012: Based on segment rates with a four month lookback (as of September 2011), as follows: 1st Segment Rate - 5.54% 2nd Segment Rate - 6.85% 3rd Segment Rate - 7.52%

NOTE 5 - TAX STATUS

The Company has received favorable determination letters from the IRS as to the qualified status of the Plans under the Internal Revenue Code ("IRC") and these plans are, therefore, exempt from federal income taxes. Some of the Plans have been amended since receiving the determination letters. However, the Plan administrator believes that all the Plans are currently designed and being operated in compliance with applicable requirements of the IRC.

U.S. GAAP requires the Plans' management to evaluate tax positions taken by the Plans and recognize a tax liability (or asset) if the Company has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS or Department of Labor. The plan administrator has analyzed the tax positions taken by the Plans, and has concluded that as of December 31, 2013 and 2012, there are no uncertain positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements. The Plans are subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

NOTE 6 - PLAN TERMINATION

The Company anticipates and believes the Plans will continue without interruption but reserves the right to discontinue any plan at any time in accordance with the respective plan provisions and provisions set forth in ERISA. In the event of a plan termination or permanent discontinuance of contributions to a plan, the assets of the plan will be distributed in accordance with the requirements of 29 CFR 4044 of ERISA.

Certain benefits under the Plans are insured by the Pension Benefit Guaranty Corporation ("PBGC"), a U.S. government agency, in the event of Plan termination. The net assets of the Plans will be allocated as prescribed by ERISA and its related regulations, generally to provide the following benefits in the order indicated:

1. Benefits attributable to employee contributions, taking into account those paid out before termination.
2. Annuity benefits that former employees or their beneficiaries have been receiving for at least three years, or that employees eligible to retire for that three-year period would have been receiving if they had retired with benefits in the normal form of annuity under the Plans. The priority amount is limited to the lowest benefit that was payable (or would have been payable) during those three years. The amount is further limited to the lowest benefit that would be payable under Plan provisions in effect at any time during the five years preceding Plan termination.
3. Other vested benefits insured by the PBGC up to the applicable limitations.
4. All other vested benefits (not insured by the PBGC).
5. All non-vested benefits.

Certain benefits under the Plans are insured by the PBGC if the Plans terminate. Generally, the PBGC guarantees most vested normal age retirement benefits, early retirement benefits, and certain disability and survivor's pensions. However, the PBGC does not guarantee all types of benefits under the Plans, and the amount of benefit protection is subject to certain limitations. Vested benefits under the Plans are guaranteed at the level in effect on the date of the Plans' termination. However, there is a statutory ceiling, which is adjusted periodically, on the amount of an individual's monthly benefit that the PBGC guarantees. For plan terminations occurring during 2014, that ceiling is $4,943 per month. That ceiling applies to those pensioners who elect to receive their benefits in the form of a single-life annuity and are at least 65 years old at the time of retirement or plan termination (whichever comes later). For younger annuitants, or for those who elect to receive their benefits in some form more valuable than a single-life annuity, the corresponding ceilings are actuarially adjusted downward.

Whether all participants receive their benefits should a plan terminate at some future time will depend on the sufficiency, at that time, of the plan's net assets to provide for accumulated benefit obligations and may also depend on the financial condition of the plan's sponsor and the level of benefits guaranteed by the PBGC.

NOTE 7 - PARTY-IN-INTEREST TRANSACTIONS

Transactions involving the account administered by the Trustee and the funds of the investment managers for the Plans are considered party-in-interest transactions. These transactions are not, however, considered prohibited transactions under 29 CFR 408(b) of the ERISA regulations.

NOTE 8 - RISKS AND UNCERTAINTIES

The Plans' investments are exposed to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investments and the level of uncertainty related to changes in the values of investments, it is at least reasonably possible that changes in risks in the near term would materially affect the amounts reported in the statements of net assets available for benefits and the statements of changes in net assets available for benefits.

The actuarial present value of accumulated plan benefits is reported based on certain assumptions pertaining to interest rates, inflation rates and employee compensation and demographics. Due to the changing nature of these assumptions, it is at least reasonably possible that changes in these assumptions will occur in the near term and due to the uncertainties inherent in setting assumptions, that the effect of such changes could be material to the value of accumulated plan benefits.

NOTE 9 - JOHNSON CONTROLS MASTER PENSION TRUST

The statements of financial position as of December 31, 2013 and 2012 and the statement of operations and changes in participating Plans' equity for the year ended December 31, 2012 for the Master Trust are presented in the following tables:

JOHNSON CONTROLS MASTER PENSION TRUST
STATEMENTS OF FINANCIAL POSITION

	December 31,	
	2013	2012
Assets		
Fixed Income Fund:		
Cash & cash equivalents	$ 66,389,607	$ 58,360,566
U.S. government and federal agency securities	154,211,170	138,739,862
Corporate issues	635,648,761	587,668,923
Municipal issues	45,958,959	47,658,076
Foreign issues	148,657,841	122,067,881
Other - Fixed Income	11,226,030	—
Total fixed income fund	1,062,092,368	954,495,308
Equity Investments:		
Domestic stocks	1,050,677,147	1,350,924,448
Foreign stocks	292,137,446	354,920,530
Total equity investments	1,342,814,593	1,705,844,978
Investment in real estate	274,427,961	255,042,178
Hedge fund	17,532,448	95,159,648
Due from brokers for securities sold	134,740,244	13,800,139
Accrued dividends and interest receivable	13,600,281	12,017,128
	$ 2,845,207,895	$ 3,036,359,379
Liabilities and Participating Plans' Equity		
Due to brokers for securities purchased	$ 138,655,091	$ 16,872,991
Participating Plans' equity	2,697,879,693	3,011,059,596
JCIM US, LLC Pension Plan's equity*	8,673,111	8,426,792
Total equity	2,706,552,804	3,019,486,388
	$ 2,845,207,895	$ 3,036,359,379

*The JCIM US, LLC plan, which is included in the Master Trust, has a June 30 year end. As such, a separate report is prepared for each plan year.

JOHNSON CONTROLS MASTER PENSION TRUST
STATEMENT OF OPERATIONS AND CHANGES IN PARTICIPATING PLANS' EQUITY

	Year Ended December 31, 2013
Investment income:	
Interest and dividends	$ 81,692,273
Net gain on equity investments	218,096,445
Net gain on hedge fund	2,416,259
Net gain on real estate	36,640,924
	338,845,901
Contributions received from participating Plans	1,027,189
Total increases	339,873,090
Withdrawals by participating plans for benefit payments, asset transfers and plan expenses	647,358,887
Administrative expenses	5,694,105
Total decreases	653,052,992
Net decrease in participating Plans' equity	(313,179,902)
Participating Plans' equity	
Beginning of year	3,011,059,595
End of year	$ 2,697,879,693

Investments that represent 5% or more of the fair value of the Plans' net assets as of December 31, 2013 and 2012 are:

	December 31, 2013	December 31, 2012
JP Morgan 500 Index, 1,821,884 and 3,765,734 units, respectively	$ 352,479,791	$ 548,124,070
Dodge & Cox Fund, 2,057,388 and 2,960,677 units, respectively	287,435,595	324,644,394
Thornburg Fund, 2,132,887 and 3,134,389 units, respectively	267,855,998	336,121,446
Baird Fixed Income Fund, 2,389,614 and 2,389,614 units, respectively	419,385,870	448,624,067
JP Morgan Enhanced Index, 973,794 and 1,687,336 units, respectively	153,718,405	197,218,498
Thompson, Siegel & Walmsley LLC Fund, 657,933 and 1,150,145 units, respectively	143,575,393	170,054,758
Prudential, 3,457,714 and 3,671,808 units, respectively	408,279,173	466,615,960
Columbus Fund, 834,861 units	*	155,841,361

*Asset was not greater than 5% in the respective year.

NOTE 10 - FAIR VALUE MEASUREMENTS

Accounting Standards Codification (ASC) 820, "Fair Value Measurement," defines fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. ASC 820 also establishes a three-level fair value hierarchy that prioritizes information used in developing assumptions when pricing an asset or liability as follows:

Level 1: Observable inputs such as quoted prices in active markets;

Level 2: Inputs, other than quoted prices in active markets, that are observable either directly or indirectly; and

Level 3: Unobservable inputs where there is little or no market data, which requires the reporting entity to develop its own assumptions.

ASC 820 requires the use of observable market data, when available, in making fair value measurements. When inputs used to measure fair value fall within different levels of the hierarchy, the level within which the fair value measurement is categorized is based on the lowest level input that is significant to the fair value measurement.

The following table sets forth by level, within the fair value hierarchy, the Master Trust's assets at fair value as of December 31, 2013 and 2012:

	Assets at Fair Value as of December 31, 2013			
	Level 1	Level 2	Level 3	Total
Fixed Income Fund	$ 1,062,092,368	$ —	$ —	$ 1,062,092,368
Equity Investments	1,342,814,593	—	—	1,342,814,593
Investment in Real Estate	—	—	274,427,961	274,427,961
Hedge Fund	—	—	17,532,448	17,532,448
Total assets at fair value	$ 2,404,906,961	$ —	$ 291,960,409	$ 2,696,867,370

	Assets at Fair Value as of December 31, 2012			
	Level 1	Level 2	Level 3	Total
Fixed Income Fund	$ 954,495,308	$ —	$ —	$ 954,495,308
Equity Investments	1,705,844,978	—	—	1,705,844,978
Investment in Real Estate	—	—	255,042,178	255,042,178
Hedge Fund	—	—	95,159,648	95,159,648
Total assets at fair value	$ 2,660,340,286	$ —	$ 350,201,826	$ 3,010,542,112

Following is a description of the valuation methodologies used for assets measured at fair value:

Fixed Income Fund: The fair value for the fixed income securities is determined by direct or indirect quoted market prices. If the indirect quoted market prices are utilized, the value of assets held in separate accounts is not published, but the investment managers report daily the underlying holdings. The underlying holdings are direct quoted market prices on regulated financial exchanges.

Equity Investments: The fair value for the equity investments is determined by direct or indirect quoted market prices. If the indirect quoted market prices are utilized, the value of assets held in separate accounts is not published, but the investment managers report daily the underlying holdings. The underlying holdings are direct quoted market prices on regulated financial exchanges.

Investment in Real Estate: The fair value of investments in real estate is deemed Level 3 since the value of the these investment is provided by individual fund managers to the custodian. The value of the investment is determined by the

fund manager using any one, or a combination of, the following methods: a discounted cash flow analysis of net cash flows projected to be generated by the investment, a third-party appraisal performed by an independent appraisal expert and/or an analysis of relevant local market conditions or other factors. For the component of the real estate portfolio under development, the investments are carried at cost until they are completed. Following completion, the investments are valued using the methods discussed above. Assumptions used to revalue the properties are updated on a quarterly basis. Significant increases (decreases) in any of these inputs in isolation would result in a significantly lower (higher) fair value measurement.

Hedge Fund: The fair value of the hedge funds is accounted for by a custodian. The custodian obtains valuations from underlying managers based on market quotes for the most liquid assets and alternative methods for assets that do not have sufficient trading activity to derive prices. The Company and custodian review the methods used by the underlying managers to value the assets. The Company believes that the appropriate methodology is used to obtain valuations that are as close as possible to the fair value of the assets. Significant increases (decreases) in any of these inputs in isolation would result in a significantly lower (higher) fair value measurement.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plans believe the valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date. The fair values of other assets and liabilities approximate their carrying values.

The table below sets forth a summary of changes in the fair value of the Master Trust's Level 3 assets for the years ended December 31, 2013 and 2012:

	Level 3 Assets Year Ended December 31, 2013	
	Investment in Hedge Fund	Investment in Real Estate
Balance, January 1, 2013	$ 95,159,648	$ 255,042,178
Purchases and redemptions	(80,043,459)	(17,255,143)
Unrealized gains (losses)	(11,154,814)	26,767,444
Realized gains	13,571,073	9,873,480
Balance, December 31, 2013	$ 17,532,448	$ 274,427,959

	Level 3 Assets Year Ended December 31, 2012	
	Investment in Hedge Fund	Investment in Real Estate
Balance, January 1, 2012	$ 92,168,727	$ 204,994,402
Purchases and redemptions	—	17,963,765
Unrealized gains	2,990,921	14,163,318
Realized gains	—	17,920,693
Balance, December 31, 2012	$ 95,159,648	$ 255,042,178

JOHNSON CONTROLS, INC. PENSION PLANS
SCHEDULE H, 4i - SCHEDULE OF ASSETS (HELD AT END OF YEAR)
JOHNSON CONTROLS MASTER PENSION TRUST
PLAN #024, EIN: 39-0380010
DECEMBER 31, 2013

(a)	(b) Identity of Issue, Borrower, Lessor or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
*	U.S. Bank	Baird Fixed Income	$ 326,968,335	$ 419,385,870
*	U.S. Bank	Columbus	61,866,026	137,784,680
*	U.S. Bank	Thompson, Siegel & Walmsley LLC	68,968,737	143,575,393
*	U.S. Bank	Dodge & Cox	204,904,434	287,435,595
*	U.S. Bank	Thornburg	211,447,852	267,855,998
*	U.S. Bank	Prudential	297,601,025	408,279,173
*	U.S. Bank	Prudential 90	100,000,000	100,800,231
*	U.S. Bank	PIMCO	100,000,000	98,571,145
*	U.S. Bank	Cash Fund	44,882,687	44,706,113
*	U.S. Bank	JP Morgan Enchd Index	97,687,251	153,718,405
*	U.S. Bank	JP Morgan 500 Index	211,869,967	352,479,791
*	U.S. Bank	Rockwood IX	3,695,531	3,785,639
*	U.S. Bank	Rockwood Capital	25,407,201	37,261,947
*	U.S. Bank	Morgan Stanley	80,000,000	123,805,245
*	U.S. Bank	Invesco	80,000,000	109,575,130
*	U.S. Bank	Selectinvest	18,098,015	17,532,448
	Total investments		$ 1,933,397,061	$ 2,706,552,803

* Represents a party-in-interest

Schedule SB Attachment (Form 5500)—2013 Plan Year
York Plan 4
EIN: 13-3473472 PN: 004

Schedule SB, line 26—Schedule of Active Participant Data as of January 1, 2013

Number of Participants and Average Compensation

Attained Age	Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25										
25-29										
30-34										
35-39										
40-44				1						
45-49				1						
50-54		2	2	2	4	4	1	3	1	
55-59		1	3	4	4	6	6	23 $61,745	24 $57,014	4
60-64	1		1		1	3	7	9	12	20 $61,169
65-69								1	1	
70+										

N-152

Schedule SB Attachment (Form 5500)—2013 Plan Year
York Plan 4
EIN: 13-3473472 PN: 004

Schedule SB, Part V—Statement of Actuarial Assumptions/Methods

Interest Rates for Minimum Funding Purposes	Based on segment rates with a four-month lookback (as of September 2012), each adjusted as needed to fall within the 25-year average interest rate corridor under MAP-21
1st Segment Rate	4.94%
2nd Segment Rate	6.15%
3rd Segment Rate	6.76%
Interest Rates for Maximum Tax Purposes	Based on segment rates with a four-month lookback (as of September 2012), without regard to the MAP-21 interest rate corridor
1st Segment Rate	1.75%
2nd Segment Rate	4.62%
3rd Segment Rate	5.72%
Optional Payment Form Election Percentage	
Retirement Eligible Employees	24% life annuity 16% joint and 50% survivor annuity 60% lump sum
Nonretirement Eligible Employees	17% life annuity 13% joint and 50% survivor annuity 70% Lump Sum
Lump Sum Conversion Interest Rate	Same as funding interest rates above for lump sums
Lump Sum Conversion Mortality	Current IRC section 417(e) table for lump sums
Retirement Age	
Active Participants	See Table 1
Terminated Vested Participants	Age 62
Mortality Rates	
Healthy and Disabled	2013 static mortality table for annuitants and non-annuitants per §1.430(h)(3)-1(e)
Withdrawal Rates	See Table 2
Disability Rates	None

Decrement Timing	Middle of year decrements, with 100% retirement occurring at beginning of year
Surviving Spouse Benefit	It is assumed that 80% of males and 80% of females have an eligible spouse, and that males are three years older than their spouses
Benefit Limits	Projected benefits are limited by the current IRC section 415 maximum benefit of $205,000
Valuation of Plan Assets	Fair market value
Trust Expenses Included in Target Normal Cost	Based on the prior year actual plan administrative expenses, $121,396 for 2013
Actuarial Method	Standard unit credit cost method
Valuation Date	January 1, 2013

Table 1

Retirement Rates

Age	Rate
60	50.00%
61	25.00%
62	50.00%
63	20.00%
64	10.00%
65	50.00%
66	50.00%
67	50.00%
68	50.00%
69	50.00%
70+	100.00%

Table 2—Page 1 of 2

Withdrawal Rates

	Years of Service			
Age	**0**	**1**	**2–3**	**4+**
15	37.50%	30.00%	22.50%	15.00%
16	37.50%	30.00%	22.50%	15.00%
17	37.50%	30.00%	22.50%	15.00%
18	37.50%	30.00%	22.50%	15.00%
19	37.50%	30.00%	22.50%	15.00%
20	37.50%	30.00%	22.50%	15.00%
21	35.25%	28.20%	21.15%	14.10%
22	33.00%	26.40%	19.80%	13.20%
23	30.75%	24.60%	18.45%	12.30%
24	28.75%	23.00%	17.25%	11.50%
25	26.75%	21.40%	16.05%	10.70%
26	25.00%	20.00%	15.00%	10.00%
27	23.25%	18.60%	13.95%	9.30%
28	21.75%	17.40%	13.05%	8.70%
29	20.25%	16.20%	12.15%	8.10%
30	18.75%	15.00%	11.25%	7.50%
31	17.50%	14.00%	10.50%	7.00%
32	16.25%	13.00%	9.75%	6.50%
33	15.00%	12.00%	9.00%	6.00%
34	14.00%	11.20%	8.40%	5.60%
35	13.00%	10.40%	7.80%	5.20%
36	12.00%	9.60%	7.20%	4.80%
37	11.00%	8.80%	6.60%	4.40%
38	10.25%	8.20%	6.15%	4.10%
39	9.50%	7.60%	5.70%	3.80%
40	8.75%	7.00%	5.25%	3.50%
41	8.00%	6.40%	4.80%	3.20%
42	7.50%	6.00%	4.50%	3.00%
43	7.00%	5.60%	4.20%	2.80%
44	6.50%	5.20%	3.90%	2.60%

Table 2—Page 2 of 2

Withdrawal Rates

	Years of Service			
Age	**0**	**1**	**2–3**	**4+**
45	6.00%	4.80%	3.60%	2.40%
46	5.50%	4.40%	3.30%	2.20%
47	5.00%	4.00%	3.00%	2.00%
48	4.50%	3.60%	2.70%	1.80%
49	4.00%	3.20%	2.40%	1.60%
50	3.50%	2.80%	2.10%	1.40%
51	3.00%	2.40%	1.80%	1.20%
52	2.50%	2.00%	1.50%	1.00%
53	2.00%	1.60%	1.20%	0.80%
54	1.75%	1.40%	1.05%	0.70%
55	1.50%	1.20%	0.90%	0.60%
56	1.25%	1.00%	0.75%	0.50%
57	1.00%	0.80%	0.60%	0.40%
58	0.75%	0.60%	0.45%	0.30%
59	0.50%	0.40%	0.30%	0.20%
60+	0.25%	0.20%	0.15%	0.10%

Schedule SB Attachment (Form 5500)—2013 Plan Year
York Plan 4
EIN: 13-3473472 PN: 004

Schedule SB, line 22—Description of Weighted Average Retirement Age

The average retirement age shown in line 22 has been calculated by assuming the following retirement rates and no decrements other than retirement for this calculation. All retirements are assumed to occur at mid-year, except for the 100% retirement age.

(a) Age	(b) Rate	(c) Weight	(d) Product (a) × (b) × (c)
60.5	50.00%	1.0000	30.25
61.5	25.00%	0.5000	7.69
62.5	50.00%	0.3750	11.72
63.5	20.00%	0.1875	2.38
64.5	10.00%	0.1500	0.97
65.5	50.00%	0.1350	4.42
66.5	50.00%	0.0675	2.24
67.5	50.00%	0.0338	1.14
68.5	50.00%	0.0169	0.58
69.5	50.00%	0.0084	0.29
70	100.00%	0.0042	0.30
		Weighted Average	61.98

Schedule SB Attachment (Form 5500)—2013 Plan Year
York Plan 4
EIN: 13-3473472 PN: 004

Schedule SB, Part V—Summary of Plan Provisions

Effective Date	The effective date of adoption is August 1, 1950. Amended and restated effective January 1, 2011.
Covered Employees	Grantley U.A.W.
Status of Plan	Ongoing.
Participation	Age 21 with one year of service. No new entrants after July 31, 2006.
Normal Retirement	
Eligibility	Age 65.
Benefit	

Multiplier	Effective Date
$30.00	July 1, 2002
$31.00	August 1, 2009

Early Retirement	
Eligibility	Age 60 with 10 years of service.
Benefit	The normal retirement benefit based on service to date of retirement, but reduced by 0.6% multiplied by the number of months by which the early retirement date precedes the participant's age 62. Participants with 30 or more years of service may receive their unreduced normal retirement benefit at their earliest retirement date.
Total and Permanent Disability Retirement	
Eligibility	Ten years of service.
Benefit	If the participant is eligible for Social Security disability insurance benefits, the disability benefit is equal to the normal retirement benefit based on service to date of disability. Otherwise, the disability benefit is equal to twice the normal retirement benefit based on service to date of disability.
Deferred Vested	
Eligibility	Five years of service.
Benefit	The accrued normal retirement benefit payable at age 65. Benefits may commence as early as age 60 and are reduced for early commencement.

Special Age 65 Benefit	
Eligibility	Participant eligible for normal, early, or disability retirement.
Benefit	$49.50 per month starting at age 65.
Early Retirement Supplement	
Eligibility	Age 60 with 30 years of service.
Benefit	$1,000 per month payable until age 62.
Preretirement Surviving Spouse Benefit	
Eligibility	Eligible for a vested benefit.
Benefit	
Early Retirement Eligible	66-2/3% of 95% of the benefit the participant was entitled to receive under the early retirement provisions had he terminated employment as of the date of death. This benefit is payable for the life of the spouse.
Not Early Retirement Eligible	66-2/3% of 95% the benefit to which the participant was entitled under the plan provisions had the participant terminated employment on the date of death, survived to his earliest retirement age, and begun to receive an immediate life annuity at his early retirement date. If the participant is eligible for the supplemental benefit, the retirement benefit will commence at the later of the participant's earliest retirement age or completion of payment of the supplemental benefit. This benefit is payable for the remaining lifetime of the spouse.
Supplemental Preretirement Surviving Spouse Benefit	
Eligibility	Age 40 with 10 years of service.
Benefit	Accrued normal retirement benefit payable as a 10-year temporary annuity.
Optional Payment Form	
Conversion Interest Rate	6.00%.
Conversion Mortality	1951 Group Annuity Mortality Table (males) with ages set back one year for participants and six years for beneficiaries.
Definitions	
Credited Service	Based on elapsed time.

Vesting Service	One year of vesting service is credited for each year a participant completes 1,000 or more hours of service.
Normal Form of Payment	
Single Participant	Life annuity.
Married Participant	66-2/3% joint and survivor annuity. This benefit is the actuarial equivalent of the benefit payable as a life annuity.
Lump Sum Form of Payment	
Retirement Eligible Participant	The actuarial equivalent of the benefit payable as a life annuity, including early retirement subsidies.
Nonretirement Eligible Participant	The actuarial equivalent of the benefit payable as a life annuity, excluding early retirement subsidies. The lump sum is only available after the participant reaches commencement eligibility.

Changes in Plan Provisions Since the January 1, 2012 Valuation

The January 1, 2013 funding valuation reflects the following plan change:

- An increase in the annual maximum benefit limit under IRC section 415 from $200,000 in 2012 to $205,000 in 2013.

Changes in Plan Provisions Since the January 1, 2011 Valuation

The January 1, 2012 funding valuation reflects the following plan change:

- An increase in the annual maximum benefit limit under IRC section 415 from $195,000 in 2011 to $200,000 in 2012.

Changes in Plan Provisions Since the January 1, 2010 Valuation

The January 1, 2011 funding valuation does not reflect any plan changes.

Other Information to Fully and Fairly Disclose the Actuarial Position of the Plan

Due to software limitations with the electronic filing process, information filed electronically cannot be controlled by the Enrolled Actuary. The values on the signed Schedule SB will govern to the extent there are any differences in the entries filed electronically and the actual data contained on the signed Schedule SB.

JOHNSON CONTROLS, INC. PENSION PLANS
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
JOHNSON CONTROLS MASTER PENSION TRUST
PLAN #024, EIN: 39-0380010
YEAR ENDED DECEMBER 31, 2013

(a) Identity of Party Involved	(b) Description of Asset	(c) Purchase Price	(d) Selling Price	(g) Cost of Asset	(h) Current Value of Asset on Transaction Date	(i) Net Gain (Loss)
Series of Transactions						
U.S. Bank	JP Morgan 500 Index	39,797,998	—	39,797,998	39,797,998	—
U.S. Bank	JP Morgan 500 Index	—	350,798,002	239,715,904	350,798,002	111,082,098
U.S. Bank	Cash Fund	984,968,211	—	984,968,211	984,968,211	—
U.S. Bank	Cash Fund	—	926,483,864	961,785,593	926,483,864	(35,301,729)

SCHEDULE SB (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Single-Employer Defined Benefit Plan Actuarial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500 or 5500-SF.**

OMB No. 1210-0110

2013

This Form is Open to Public Inspection

For calendar plan year 2013 or fiscal plan year beginning 01/01/2013 and ending 12/31/2013

▶ **Round off amounts to nearest dollar.**

▶ **Caution:** A penalty of $1,000 will be assessed for late filing of this report unless reasonable cause is established.

A Name of plan: York Int Corp Pension Plan Number Four

B Three-digit plan number (PN) ▶ 004

C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF: York International Corporation

D Employer Identification Number (EIN): 13-3473472

E Type of plan: [X] Single [ ] Multiple-A [ ] Multiple-B

F Prior year plan size: [ ] 100 or fewer [ ] 101-500 [X] More than 500

Part I Basic Information

1 Enter the valuation date: Month 1 Day 1 Year 2013

2 Assets:

a Market value	2a	105,849,126
b Actuarial value	2b	105,849,126

3 Funding target/participant count breakdown:

		(1) Number of participants	(2) Funding Target
a For retired participants and beneficiaries receiving payment	3a	859	67,701,839
b For terminated vested participants	3b	200	6,558,635
c For active participants:			
(1) Non-vested benefits	3c(1)		2,054,308
(2) Vested benefits	3c(2)		10,134,233
(3) Total active	3c(3)	152	12,188,541
d Total	3d	1,211	86,449,015

4 If the plan is in at-risk status, check the box and complete lines (a) and (b) [ ]

a Funding target disregarding prescribed at-risk assumptions	4a	
b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor	4b	
5 Effective interest rate	5	6.14 %
6 Target normal cost	6	331,230

Statement by Enrolled Actuary

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

SIGN HERE Cheryl L. Davis CLD

Signature of actuary

09/25/2014
Date

Cheryl L. Davis
Type or print name of actuary

14-04707
Most recent enrollment number

Hewitt Associates LLC
Firm name

(847) 295-5000
Telephone number (including area code)

4 Overlook Point

Lincolnshire IL 60069
Address of the firm

If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions [ ]

Part II Beginning of Year Carryover and Prefunding Balances

		(a) Carryover balance	(b) Prefunding balance
7	Balance at beginning of prior year after applicable adjustments (line 13 from prior year)	1,021,306	25,039,518
8	Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	347,686	0
9	Amount remaining (line 7 minus line 8)	673,620	25,039,518
10	Interest on line 9 using prior year's actual return of 15.60 %	105,085	3,906,165
11	Prior year's excess contributions to be added to prefunding balance:		
	a Present value of excess contributions (line 38a from prior year)		0
	b Interest on (a) using prior year's effective interest rate of 6.83 % except as otherwise provided (see instructions)		0
	c Total available at beginning of current plan year to add to prefunding balance		0
	d Portion of (c) to be added to prefunding balance		0
12	Other reductions in balances due to elections or deemed elections	0	0
13	Balance at beginning of current year (line 9 + line 10 + line 11d – line 12)	778,705	28,945,683

Part III Funding Percentages

14	Funding target attainment percentage	14	88.05 %
15	Adjusted funding target attainment percentage	15	122.44 %
16	Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement	16	89.83 %
17	If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage	17	%

Part IV Contributions and Liquidity Shortfalls

18 Contributions made to the plan for the plan year by employer(s) and employees:

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
			Totals ▶ 18(b)	0	18(c) 0

19	Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year:		
	a Contributions allocated toward unpaid minimum required contributions from prior years.	19a	0
	b Contributions made to avoid restrictions adjusted to valuation date	19b	0
	c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c	0

20 Quarterly contributions and liquidity shortfalls:

a Did the plan have a "funding shortfall" for the prior year? [X] Yes [ ] No

b If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? [X] Yes [ ] No

c If line 20a is "Yes," see instructions and complete the following table as applicable:

Liquidity shortfall as of end of quarter of this plan year

(1) 1st	(2) 2nd	(3) 3rd	(4) 4th
0	0	0	0

Part V Assumptions Used to Determine Funding Target and Target Normal Cost

21 Discount rate:

a Segment rates:

1st segment:	2nd segment:	3rd segment:	☐ N/A, full yield curve used
4.94 %	6.15 %	6.76 %	

b Applicable month (enter code)	21b	4
22 Weighted average retirement age	22	62

23 Mortality table(s) (see instructions) ☐ Prescribed - combined ☒ Prescribed - separate ☐ Substitute

Part VI Miscellaneous Items

24 Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment		☒ Yes ☐ No
25 Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment		☐ Yes ☒ No
26 Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment		☒ Yes ☐ No
27 If the plan is subject to alternative funding rules, enter applicable code and see instructions regarding attachment	27	

Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years

28 Unpaid minimum required contributions for all prior years	28	0
29 Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (line 19a)	29	0
30 Remaining amount of unpaid minimum required contributions (line 28 minus line 29)	30	0

Part VIII Minimum Required Contribution For Current Year

31 Target normal cost and excess assets (see instructions):		
a Target normal cost (line 6)	31a	331,230
b Excess assets, if applicable, but not greater than line 31a	31b	0

32 Amortization installments:	Outstanding Balance	Installment
a Net shortfall amortization installment	0	0
b Waiver amortization installment	0	0

33 If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount	33	
34 Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33)	34	331,230

	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement	331,230	0	331,230

36 Additional cash requirement (line 34 minus line 35)	36	0
37 Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c)	37	0
38 Present value of excess contributions for current year (see instructions)		
a Total (excess, if any, of line 37 over line 36)	38a	0
b Portion included in line 38a attributable to use of prefunding and funding standard carryover balances	38b	0
39 Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37)	39	0
40 Unpaid minimum required contributions for all years	40	0

Part IX Pension Funding Relief Under Pension Relief Act of 2010 (See Instructions)

41 If an election was made to use PRA 2010 funding relief for this plan:

a Schedule elected ☐ 2 plus 7 years ☐ 15 years

b Eligible plan year(s) for which the election in line 41a was made ☐ 2008 ☐ 2009 ☐ 2010 ☐ 2011

42 Amount of acceleration adjustment	42	
43 Excess installment acceleration amount to be carried over to future plan years	43	

Schedule SB Attachment (Form 5500)—2013 Plan Year
York Plan 4
EIN: 13-3473472 PN: 004

Schedule SB, line 22—Description of Weighted Average Retirement Age

The average retirement age shown in line 22 has been calculated by assuming the following retirement rates and no decrements other than retirement for this calculation. All retirements are assumed to occur at mid-year, except for the 100% retirement age.

(a) Age	(b) Rate	(c) Weight	(d) Product (a) × (b) × (c)
60.5	50.00%	1.0000	30.25
61.5	25.00%	0.5000	7.69
62.5	50.00%	0.3750	11.72
63.5	20.00%	0.1875	2.38
64.5	10.00%	0.1500	0.97
65.5	50.00%	0.1350	4.42
66.5	50.00%	0.0675	2.24
67.5	50.00%	0.0338	1.14
68.5	50.00%	0.0169	0.58
69.5	50.00%	0.0084	0.29
70	100.00%	0.0042	0.30
		Weighted Average	61.98

Schedule SB Attachment (Form 5500)—2013 Plan Year
York Plan 4
EIN: 13-3473472 PN: 004

Schedule SB, Part V—Statement of Actuarial Assumptions/Methods

Interest Rates for Minimum Funding Purposes	Based on segment rates with a four-month lookback (as of September 2012), each adjusted as needed to fall within the 25-year average interest rate corridor under MAP-21
1st Segment Rate	4.94%
2nd Segment Rate	6.15%
3rd Segment Rate	6.76%
Interest Rates for Maximum Tax Purposes	Based on segment rates with a four-month lookback (as of September 2012), without regard to the MAP-21 interest rate corridor
1st Segment Rate	1.75%
2nd Segment Rate	4.62%
3rd Segment Rate	5.72%
Optional Payment Form Election Percentage	
Retirement Eligible Employees	24% life annuity 16% joint and 50% survivor annuity 60% lump sum
Nonretirement Eligible Employees	17% life annuity 13% joint and 50% survivor annuity 70% Lump Sum
Lump Sum Conversion Interest Rate	Same as funding interest rates above for lump sums
Lump Sum Conversion Mortality	Current IRC section 417(e) table for lump sums
Retirement Age	
Active Participants	See Table 1
Terminated Vested Participants	Age 62
Mortality Rates	
Healthy and Disabled	2013 static mortality table for annuitants and non-annuitants per §1.430(h)(3)-1(e)
Withdrawal Rates	See Table 2
Disability Rates	None

Decrement Timing	Middle of year decrements, with 100% retirement occurring at beginning of year
Surviving Spouse Benefit	It is assumed that 80% of males and 80% of females have an eligible spouse, and that males are three years older than their spouses
Benefit Limits	Projected benefits are limited by the current IRC section 415 maximum benefit of $205,000
Valuation of Plan Assets	Fair market value
Trust Expenses Included in Target Normal Cost	Based on the prior year actual plan administrative expenses, $121,396 for 2013
Actuarial Method	Standard unit credit cost method
Valuation Date	January 1, 2013

Table 1

Retirement Rates

Age	Rate
60	50.00%
61	25.00%
62	50.00%
63	20.00%
64	10.00%
65	50.00%
66	50.00%
67	50.00%
68	50.00%
69	50.00%
70+	100.00%

Table 2—Page 1 of 2

Withdrawal Rates

	Years of Service			
Age	**0**	**1**	**2–3**	**4+**
15	37.50%	30.00%	22.50%	15.00%
16	37.50%	30.00%	22.50%	15.00%
17	37.50%	30.00%	22.50%	15.00%
18	37.50%	30.00%	22.50%	15.00%
19	37.50%	30.00%	22.50%	15.00%
20	37.50%	30.00%	22.50%	15.00%
21	35.25%	28.20%	21.15%	14.10%
22	33.00%	26.40%	19.80%	13.20%
23	30.75%	24.60%	18.45%	12.30%
24	28.75%	23.00%	17.25%	11.50%
25	26.75%	21.40%	16.05%	10.70%
26	25.00%	20.00%	15.00%	10.00%
27	23.25%	18.60%	13.95%	9.30%
28	21.75%	17.40%	13.05%	8.70%
29	20.25%	16.20%	12.15%	8.10%
30	18.75%	15.00%	11.25%	7.50%
31	17.50%	14.00%	10.50%	7.00%
32	16.25%	13.00%	9.75%	6.50%
33	15.00%	12.00%	9.00%	6.00%
34	14.00%	11.20%	8.40%	5.60%
35	13.00%	10.40%	7.80%	5.20%
36	12.00%	9.60%	7.20%	4.80%
37	11.00%	8.80%	6.60%	4.40%
38	10.25%	8.20%	6.15%	4.10%
39	9.50%	7.60%	5.70%	3.80%
40	8.75%	7.00%	5.25%	3.50%
41	8.00%	6.40%	4.80%	3.20%
42	7.50%	6.00%	4.50%	3.00%
43	7.00%	5.60%	4.20%	2.80%
44	6.50%	5.20%	3.90%	2.60%

Table 2—Page 2 of 2

Withdrawal Rates

	Years of Service			
Age	**0**	**1**	**2–3**	**4+**
45	6.00%	4.80%	3.60%	2.40%
46	5.50%	4.40%	3.30%	2.20%
47	5.00%	4.00%	3.00%	2.00%
48	4.50%	3.60%	2.70%	1.80%
49	4.00%	3.20%	2.40%	1.60%
50	3.50%	2.80%	2.10%	1.40%
51	3.00%	2.40%	1.80%	1.20%
52	2.50%	2.00%	1.50%	1.00%
53	2.00%	1.60%	1.20%	0.80%
54	1.75%	1.40%	1.05%	0.70%
55	1.50%	1.20%	0.90%	0.60%
56	1.25%	1.00%	0.75%	0.50%
57	1.00%	0.80%	0.60%	0.40%
58	0.75%	0.60%	0.45%	0.30%
59	0.50%	0.40%	0.30%	0.20%
60+	0.25%	0.20%	0.15%	0.10%

Schedule SB, Part V—Summary of Plan Provisions

Effective Date

The effective date of adoption is August 1, 1950. Amended and restated effective January 1, 2011.

Covered Employees

Grantley U.A.W.

Status of Plan

Ongoing.

Participation

Age 21 with one year of service. No new entrants after July 31, 2006.

Normal Retirement

Eligibility

Age 65.

Benefit

Multiplier	Effective Date
$30.00	July 1, 2002
$31.00	August 1, 2009

Early Retirement

Eligibility

Age 60 with 10 years of service.

Benefit

The normal retirement benefit based on service to date of retirement, but reduced by 0.6% multiplied by the number of months by which the early retirement date precedes the participant's age 62. Participants with 30 or more years of service may receive their unreduced normal retirement benefit at their earliest retirement date.

Total and Permanent Disability Retirement

Eligibility

Ten years of service.

Benefit

If the participant is eligible for Social Security disability insurance benefits, the disability benefit is equal to the normal retirement benefit based on service to date of disability. Otherwise, the disability benefit is equal to twice the normal retirement benefit based on service to date of disability.

Deferred Vested

Eligibility

Five years of service.

Benefit

The accrued normal retirement benefit payable at age 65. Benefits may commence as early as age 60 and are reduced for early commencement.

Special Age 65 Benefit	
Eligibility	Participant eligible for normal, early, or disability retirement.
Benefit	$49.50 per month starting at age 65.
Early Retirement Supplement	
Eligibility	Age 60 with 30 years of service.
Benefit	$1,000 per month payable until age 62.
Preretirement Surviving Spouse Benefit	
Eligibility	Eligible for a vested benefit.
Benefit	
Early Retirement Eligible	66-2/3% of 95% of the benefit the participant was entitled to receive under the early retirement provisions had he terminated employment as of the date of death. This benefit is payable for the life of the spouse.
Not Early Retirement Eligible	66-2/3% of 95% the benefit to which the participant was entitled under the plan provisions had the participant terminated employment on the date of death, survived to his earliest retirement age, and begun to receive an immediate life annuity at his early retirement date. If the participant is eligible for the supplemental benefit, the retirement benefit will commence at the later of the participant's earliest retirement age or completion of payment of the supplemental benefit. This benefit is payable for the remaining lifetime of the spouse.
Supplemental Preretirement Surviving Spouse Benefit	
Eligibility	Age 40 with 10 years of service.
Benefit	Accrued normal retirement benefit payable as a 10-year temporary annuity.
Optional Payment Form	
Conversion Interest Rate	6.00%.
Conversion Mortality	1951 Group Annuity Mortality Table (males) with ages set back one year for participants and six years for beneficiaries.
Definitions	
Credited Service	Based on elapsed time.

Vesting Service	One year of vesting service is credited for each year a participant completes 1,000 or more hours of service.
Normal Form of Payment	
Single Participant	Life annuity.
Married Participant	66-2/3% joint and survivor annuity. This benefit is the actuarial equivalent of the benefit payable as a life annuity.
Lump Sum Form of Payment	
Retirement Eligible Participant	The actuarial equivalent of the benefit payable as a life annuity, including early retirement subsidies.
Nonretirement Eligible Participant	The actuarial equivalent of the benefit payable as a life annuity, excluding early retirement subsidies. The lump sum is only available after the participant reaches commencement eligibility.

Changes in Plan Provisions Since the January 1, 2012 Valuation

The January 1, 2013 funding valuation reflects the following plan change:

- An increase in the annual maximum benefit limit under IRC section 415 from $200,000 in 2012 to $205,000 in 2013.

Changes in Plan Provisions Since the January 1, 2011 Valuation

The January 1, 2012 funding valuation reflects the following plan change:

- An increase in the annual maximum benefit limit under IRC section 415 from $195,000 in 2011 to $200,000 in 2012.

Changes in Plan Provisions Since the January 1, 2010 Valuation

The January 1, 2011 funding valuation does not reflect any plan changes.

Other Information to Fully and Fairly Disclose the Actuarial Position of the Plan

Due to software limitations with the electronic filing process, information filed electronically cannot be controlled by the Enrolled Actuary. The values on the signed Schedule SB will govern to the extent there are any differences in the entries filed electronically and the actual data contained on the signed Schedule SB.

Schedule SB Attachment (Form 5500)—2013 Plan Year
York Plan 4
EIN: 13-3473472 PN: 004

Schedule SB, line 26—Schedule of Active Participant Data as of January 1, 2013

Number of Participants and Average Compensation

Attained Age	Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25										
25-29										
30-34										
35-39										
40-44				1						
45-49				1						
50-54		2	2	2	4	4	1	3	1	
55-59		1	3	4	4	6	6	23 $61,745	24 $57,014	4
60-64	1		1		1	3	7	9	12	20 $61,169
65-69								1	1	
70+										

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