

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 6057(b) and 6058(a) of the Internal Revenue Code (the Code). <p style="text-align: center;">▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	OMB Nos. 1210-0110 1210-0089 <div style="text-align: center; font-size: 1.5em; font-weight: bold;">2019</div> This Form is Open to Public Inspection
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Part I	Annual Report Identification Information For calendar plan year 2019 or fiscal plan year beginning <u>01/01/2019</u> and ending <u>12/31/2019</u>
A This return/report is for:	☐ a multiemployer plan ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.) ☒ a single-employer plan ☐ a DFE (specify) _____
B This return/report is:	☐ the first return/report ☐ the final return/report ☐ 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.	☒
D Check box if filing under:	☒ Form 5558 ☐ automatic extension ☐ the DFVC program ☐ special extension (enter description)

Part II	Basic Plan Information —enter all requested information		
1a Name of plan <u>JOHNSON CTRLS PLAN BATTERY DIV. HRLY EMPLOYEES</u>	1b Three-digit plan number (PN) ▶	<u>016</u>	
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>CLARIOS, LLC</u> <u>5757 N GREEN BAY AVE</u> <u>MILWAUKEE, WI 53209-4408</u>	1c Effective date of plan <u>12/29/1943</u>	2b Employer Identification Number (EIN) <u>39-1684871</u>	2c Plan Sponsor's telephone number <u>414-524-1200</u>
		2d Business code (see instructions) <u>336300</u>	

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.	10/08/2020	HILLARY FANGMANN
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	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

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Form 5500 (2019)
v. 190130

3a Plan administrator's name and address ☐ Same as Plan Sponsor 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 or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name JOHNSON CONTROLS, INC. c Plan Name JOHNSON CTRLS PLAN BATTERY DIV. HRLY EMPLOYEEES	4b EIN 39-1684871 4d PN 016
5 Total number of participants at the beginning of the plan year	5 4138
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1), 6a(2), 6b, 6c, and 6d).	
a(1) Total number of active participants at the beginning of the plan year	6a(1) 1896
a(2) Total number of active participants at the end of the plan year	6a(2) 1702
b Retired or separated participants receiving benefits.....	6b 1368
c Other retired or separated participants entitled to future benefits	6c 526
d Subtotal. Add lines 6a(2), 6b, and 6c.....	6d 3596
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	6e 359
f Total. Add lines 6d and 6e.....	6f 3955
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 who terminated employment during the plan year with accrued benefits that were less than 100% vested	6h 67
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: 1A 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
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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) ☐ 0 **A** (Insurance Information)
- (4) ☒ **C** (Service Provider Information)
- (5) ☒ **D** (DFE/Participating Plan Information)
- (6) ☐ **G** (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2019 Form M-1 annual report. If the plan was not required to file the 2019 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

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 2019 This Form is Open to Public Inspection
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For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

▶ **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 <u>JOHNSON CTRLS PLAN BATTERY DIV. HRLY EMPLOYEES</u>	B Three-digit plan number (PN) ▶ <u>016</u>
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF <u>CLARIOS, LLC</u>	D Employer Identification Number (EIN) <u>39-1684871</u>
E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B	F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500

Part I	Basic Information
1 Enter the valuation date: Month <u>01</u> Day <u>01</u> Year <u>2019</u>	
2 Assets:	
a Market value	2a <u>347482236</u>
b Actuarial value	2b <u>347482236</u>
3 Funding target/participant count breakdown	
a For retired participants and beneficiaries receiving payment.....	(1) Number of participants <u>1718</u> (2) Vested Funding Target <u>132707658</u> (3) Total Funding Target <u>132707658</u>
b For terminated vested participants.....	<u>524</u> <u>21170281</u> <u>21170281</u>
c For active participants	<u>1896</u> <u>136702049</u> <u>148311472</u>
d Total.....	<u>4138</u> <u>290579988</u> <u>302189411</u>
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 <u>5.58</u> %
6 Target normal cost.....	6 <u>10523846</u>

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		<u>10/05/2020</u>
	Signature of actuary	Date
<u>CHERYL L. DAVIS</u>	Type or print name of actuary	<u>20-04707</u>
<u>AON CONSULTING, INC.</u>	Firm name	Most recent enrollment number
<u>4 OVERLOOK POINT</u> <u>LINCOLNSHIRE, IL 60069</u>	Address of the firm	<u>847-295-5000</u>
		Telephone number (including area code)

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 ☐

For Paperwork Reduction Act Notice, see the Instructions for Form 5500 or 5500-SF.

Schedule SB (Form 5500) 2019
v. 190130

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)	0	55935975
8 Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	0	0
9 Amount remaining (line 7 minus line 8)	0	55935975
10 Interest on line 9 using prior year's actual return of <u>-4.24</u> %	0	-2371685
11 Prior year's excess contributions to be added to prefunding balance:		
a Present value of excess contributions (line 38a from prior year)		32523082
b(1) Interest on the excess, if any, of line 38a over line 38b from prior year Schedule SB, using prior year's effective interest rate of <u>5.74</u> %		1866825
b(2) Interest on line 38b from prior year Schedule SB, using prior year's actual return		0
c Total available at beginning of current plan year to add to prefunding balance		34389907
d Portion of (c) to be added to prefunding balance		34389907
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)	0	87954197

Part III Funding Percentages

14 Funding target attainment percentage	14	85.88 %
15 Adjusted funding target attainment percentage	15	114.98 %
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	105.21 %
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? ☐ Yes ☒ No
- b** If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? ☐ 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

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

21 Discount rate:				
a Segment rates:	1st segment: 3.74 %	2nd segment: 5.35 %	3rd segment: 6.11 %	☐ 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	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	10523846	
b Excess assets, if applicable, but not greater than line 31a	31b	0	
32 Amortization installments:	Outstanding Balance	Installment	
a Net shortfall amortization installment	42661372	6931952	
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	17455798	
	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement	0	17455798	17455798
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

<div>SCHEDULE C</div> <div>(Form 5500)</div> <div>Department of the Treasury Internal Revenue Service</div> <div>Department of Labor Employee Benefits Security Administration</div> <div>Pension Benefit Guaranty Corporation</div>	<div>Service Provider Information</div> <div>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).</div> <div>▶ File as an attachment to Form 5500.</div>	OMB No. 1210-0110
		2019
		This Form is Open to Public Inspection.

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019		
A Name of plan JOHNSON CTRLS PLAN BATTERY DIV. HRLY EMPLOYEES	B Three-digit plan number (PN) ▶	016
C Plan sponsor's name as shown on line 2a of Form 5500 CLARIOS, LLC	D Employer Identification Number (EIN) 39-1684871	

Part I	Service Provider Information (see instructions)
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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 CONSULTING

22-2232264

(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	NONE	318887	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

ALIGHT SOLUTIONS LLC

82-1061233

(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?
28	NONE	246501	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

US BANK

1555 N. RIVERCENTER DR.
SUITE 300
MILWAUKEE, WI 53212

(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?
21	NONE	196928	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)

WIPFLI LLP

39-0758449

(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?
10	NONE	10100	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

FOLEY & LARDNER

39-0473800

(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?
29	NONE	9888	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
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(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) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small>	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 2019 This Form is Open to Public Inspection.
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For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

A Name of plan <u>JOHNSON CTRLS PLAN BATTERY DIV. HRLY EMPLOYEES</u>	B Three-digit plan number (PN) ►	<u>016</u>
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>CLARIOS, LLC</u>	D Employer Identification Number (EIN) <u>39-1684871</u>	

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)
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a Name of MTIA, CCT, PSA, or 103-12 IE: <u>LARGE CAP EQUITY INDEX FUND</u>				
b Name of sponsor of entity listed in (a): <u>AON HEWITT INVESTMENT CONSULTING, INC.</u>				
c EIN-PN <u>27-2436452-006</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>51739162</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>U.S. INTERMEDIATE GOVT BOND INDEX</u>				
b Name of sponsor of entity listed in (a): <u>AON HEWITT INVESTMENT CONSULTING, INC.</u>				
c EIN-PN <u>27-2436452-014</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>7877584</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>U.S. LONG GOVT BOND INDEX</u>				
b Name of sponsor of entity listed in (a): <u>AON HEWITT INVESTMENT CONSULTING, INC.</u>				
c EIN-PN <u>27-2436452-015</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>47499526</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>SMALL CAP EQUITY INDEX FUND</u>				
b Name of sponsor of entity listed in (a): <u>AON HEWITT INVESTMENT CONSULTING, INC.</u>				
c EIN-PN <u>27-2436452-009</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>12714800</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>MULTI-ASSET CREDIT FUND</u>				
b Name of sponsor of entity listed in (a): <u>AON HEWITT INVESTMENT CONSULTING, INC.</u>				
c EIN-PN <u>27-2436452-004</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>34970296</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>LONG CREDIT BOND FUND</u>				
b Name of sponsor of entity listed in (a): <u>AON HEWITT INVESTMENT CONSULTING, INC.</u>				
c EIN-PN <u>27-2436452-007</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>83863574</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>NON-U.S. EQUITY INDEX FUND</u>				
b Name of sponsor of entity listed in (a): <u>AON HEWITT INVESTMENT CONSULTING, INC.</u>				
c EIN-PN <u>27-2436452-010</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>63363486</u>		

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

b Name of sponsor of entity listed in (a): AON HEWITT INVESTMENT CONSULTING, INC.

c EIN-PN 27-2436452-011	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 62901542
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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)
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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)
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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)
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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)
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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)
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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)
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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)
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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)
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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)
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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) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Financial Information 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.	OMB No. 1210-0110
		2019
		This Form is Open to Public Inspection

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019	
A Name of plan JOHNSON CTRLS PLAN BATTERY DIV. HRLY EMPLOYEES	B Three-digit plan number (PN) ► 016
C Plan sponsor's name as shown on line 2a of Form 5500 CLARIOS, LLC	D Employer Identification Number (EIN) 39-1684871

Part I	Asset and Liability Statement
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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)	35000000	0
(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)	0	5416992
(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)	0	364929970
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)	313176136	0
(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)		

1d Employer-related investments:		(a) Beginning of Year	(b) End of Year
(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	348176136	370346962

Liabilities

g Benefit claims payable	1g		
h Operating payables	1h	83807	401389
i Acquisition indebtedness	1i		
j Other liabilities	1j		
k Total liabilities (add all amounts in lines 1g through 1j)	1k	83807	401389

Net Assets

l Net assets (subtract line 1k from line 1f)	1l	348092329	369945573
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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)		0
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)		0
(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)		0
(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)		0
(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)		0

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		39204415
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		14858930
(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		54063345

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	30826934	
(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)		30826934
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)	782302	
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)		
(4) Other	2i(4)	600865	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		1383167
j Total expenses. Add all expense amounts in column (b) and enter total	2j		32210101

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		21853244
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) ☐ Unmodified (2) ☐ Qualified (3) ☒ Disclaimer (4) ☐ Adverse

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

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

(1) Name: WIPFLI LLP

(2) EIN: 39-0758449

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:

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.)

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.)

	Yes	No	Amount
4a		X	
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.)		X	
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.)		X	
4d		X	
e Was this plan covered by a fidelity bond?	X		50000000
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?		X	
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?		X	
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?		X	
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.)	X		
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.)	X		
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?		X	
4k		X	
l Has the plan failed to provide any benefit when due under the plan?		X	
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m			
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			

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

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
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year 4240942. (See instructions.)

<div>SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation</div>	<div>Retirement Plan Information</div> <div>This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).</div> <div>▶ File as an attachment to Form 5500.</div>	<div>OMB No. 1210-0110</div> <div>2019</div> <div>This Form is Open to Public Inspection.</div>
For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019		
A Name of plan JOHNSON CTRLS PLAN BATTERY DIV. HRLY EMPLOYEES		B Three-digit plan number (PN) ▶ 016
C Plan sponsor's name as shown on line 2a of Form 5500 CLARIOS, LLC		D Employer Identification Number (EIN) 39-1684871
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): 41-6271370		
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 95
Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 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		
For Paperwork Reduction Act Notice, see the Instructions for Form 5500.		
Schedule R (Form 5500) 2019 v. 190130		

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
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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	<p>If the total number of participants is 1,000 or more, complete lines (a) through (c)</p> <p>a Enter the percentage of plan assets held as: Stock: <u>51.5</u> % Investment-Grade Debt: <u>37.3</u> % High-Yield Debt: <u>0.8</u> % Real Estate: <u>8.5</u> % Other: <u>1.9</u> %</p> <p>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</p> <p>c What duration measure was used to calculate line 19(b)? ☒ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):</p>
20	<p>PBGC missed contribution reporting requirements. If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.</p> <p>a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No</p> <p>b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box: ☐ Yes. ☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date. ☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date. ☐ No. Other. Provide explanation _____</p>

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES

**FINANCIAL STATEMENTS
DECEMBER 31, 2019 and 2018**

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES

Page

Contents

Independent Auditor's Report

[1](#)

Financial Statements

Statements of Net Assets Available for Benefits as of December 31, 2019 and 2018

[3](#)

Statements of Changes in Net Assets Available for Benefits for the years ended December 31, 2019 and 2018

[4](#)

Statement of Accumulated Plan Benefits as of January 1, 2019

[5](#)

Statement of Changes in Accumulated Plan Benefits for the year ended January 1, 2019

[6](#)

Notes to the Financial Statements

[7](#)

Supplemental Schedules

Schedule H, Line 4i - Schedule of Assets (Held at End of Year)

[15](#)

Schedule H, Line 4j - Schedule of Reportable Transactions

[16](#)

Independent Auditor's Report

To the Participants and Plan Administrator
Johnson Controls Pension Plan Battery Division Hourly Employees

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of Johnson Controls Pension Plan Battery Division Hourly Employees (the "Plan"), which comprise the statements of net assets available for benefits as of December 31, 2019 and 2018, the related statements of changes in net assets available for benefits for the years then ended, the statement of accumulated plan benefits as of January 1, 2019 and the related statement of changes in accumulated plan benefits for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States; 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.

Auditor's 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. 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, the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 8, which was certified by U.S. Bank National Association, the trustee of the Plan, except for comparing the information with the related information included in the financial statements. We have been informed by the plan administrator that the trustee holds the Plans' investment assets and executes investment transactions. The plan administrator has obtained a certification from the trustee as of December 31, 2019 and 2018 and for the years then ended, 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.

Emphasis of Matter – 2018 Restatement

As explained in Note 10 to the financial statements, the plan recorded an additional employer contribution resulting in an understatement of previously reported contributions and contributions receivable as of and for the year ended December 31, 2018, which were discovered by management of the Company subsequent to the issuance of our report on those financial statements dated September 12, 2019. Accordingly, the accompanying 2018 financial statements have been restated to correct the error. Our opinion is not modified with respect to this matter.

Other Matter

The supplemental schedules of Schedule H, Line 4i – Schedule of Assets (Held at End of Year) as of December 31, 2019 and Schedule H, Line 4j – Schedule of Reportable Transactions for the year ended December 31, 2019 are required by the DOL's Rules and Regulations for Reporting and Disclosure under ERISA 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, 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 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.

A handwritten signature in dark ink that reads "Wipfli LLP". The script is cursive and fluid, with the letters "W", "i", "p", "f", "l", and "i" being particularly prominent and connected.

Wipfli LLP
Milwaukee, WI
September 30, 2020

**JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS**

	December 31, 2019	(Restated) December 31, 2018
Assets		
Cash & cash equivalents	\$ 5,416,992	\$ —
Investments, at fair value	364,929,970	—
Investment in Johnson Controls, Inc. Master Pension Trust at fair value	—	313,176,136
Total investments at fair value	<u>370,346,962</u>	<u>313,176,136</u>
Company contributions receivable	—	35,000,000
Total assets	<u>370,346,962</u>	<u>348,176,136</u>
Liabilities		
Accrued administrative expenses	401,389	83,807
Net assets available for benefits	<u><u>\$ 369,945,573</u></u>	<u><u>\$ 348,092,329</u></u>

See the notes to the financial statements

**JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS**

	Year Ended December 31, 2019	(Restated) Year Ended December 31, 2018
Additions (reductions)		
Additions (reductions) to plan assets attributed to:		
Investment income (loss):		
Net appreciation in fair value of investments	\$ 38,359,970	\$ —
Interest and dividends	844,445	—
Plan interest in Johnson Controls, Inc.		
Master Pension Trust	14,858,930	(14,694,966)
Total investment income (loss)	54,063,345	(14,694,966)
Company contributions	—	35,000,000
Total additions	54,063,345	20,305,034
Deductions		
Deductions from plan assets attributed to:		
Benefits paid to participants	30,826,934	38,339,000
Administrative expenses	1,383,167	619,199
Total deductions	32,210,101	38,958,199
Net increase (decrease) in plan assets available for benefits	21,853,244	(18,653,165)
Net assets available for benefits, beginning of year	348,092,329	366,745,494
Net assets available for benefits, end of year	\$ 369,945,573	\$ 348,092,329

See the notes to the financial statements

**JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
STATEMENT OF ACCUMULATED PLAN BENEFITS**

	<u>January 1, 2019</u>
Actuarial present value of accumulated plan benefits:	
Vested benefits	
Participants currently receiving payments	\$ 113,305,716
Other participants	<u>148,672,222</u>
	261,977,938
Nonvested benefits	<u>8,981,901</u>
Total actuarial present value of accumulated plan benefits	<u><u>\$ 270,959,839</u></u>

See the notes to the financial statements

**JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
STATEMENT OF CHANGES IN ACCUMULATED PLAN BENEFITS**

	Year Ended January 1, 2019
Actuarial present value of accumulated plan benefits at January 1, 2018	\$ 273,117,925
Increase (decrease) attributed to:	
Interest accumulation	19,072,123
Benefits paid	(38,339,000)
Assumption changes	968,900
Plan amendments	61,197
Other*	16,078,694
Net increase (decrease)	(2,158,086)
Actuarial present value of accumulated plan benefits at January 1, 2019	\$ 270,959,839

*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 PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES

NOTES TO THE FINANCIAL STATEMENTS

NOTE 1 - DESCRIPTION OF THE PLAN

The following description of the Johnson Controls Pension Plan Battery Division Hourly Employees (the "Plan") provides only general information. Participants should refer to the Summary Plan Description for a more complete description of the Plan's provisions.

GENERAL

On April 30, 2019, Clarios Global LP (the "Company") acquired the Power Solutions business ("Power Solutions") from Johnson Controls International plc ("JCI"). In conjunction with this transaction (the "Acquisition"), the Plan's units of participation in the Johnson Controls, Inc. Master Pension Trust ("Master Trust") were sold on April 26, 2019.

The Plan is a defined benefit pension plan covering the eligible employees of the Company and prior to May 1, 2019, eligible JCI employees. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA").

Eligible employees consist of union hourly employees, whose labor agreements call for their participation in the Plan (excludes former union hourly employees who were covered by the Johnson Controls Pension Plan Battery Division/Owosso UAW).

ADMINISTRATION

The Plan is administered by the Employee Benefits Policy Committee appointed by the Company. The Plan has appointed U.S. Bank, N.A (the "Trustee") as trustee of the Plan, and has contracted with Alight for Plan administration.

VESTING

In general, employees receive a year of vesting service for each 12 months during the period beginning on the first day of the month in which they are hired. Employees become fully vested after five years of vesting service. See Plan document for specific Plan provisions.

PENSION BENEFITS

Employees with five or more years of vesting service are entitled to annual pension benefits beginning at normal retirement age, with benefits determined based on years of credited service. See Plan document for Plan calculations and payment options based on early, late, disability and normal retirement.

FUNDING POLICY

The Company's funding policy is to make contributions to the Plan in amounts that meet or exceed the minimum amounts required by ERISA. No contributions were required for 2019 and 2018 to meet required minimum ERISA requirements.

Although it has not expressed any intention to do so, the Company has the right under the Plan to terminate the Plan subject to the provisions set forth in ERISA.

ADMINISTRATIVE EXPENSES

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

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

BASIS OF PRESENTATION

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

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES

NOTES TO THE FINANCIAL STATEMENTS

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.

ACTUARIAL VALUATION METHOD AND ASSUMPTIONS

Accumulated plan benefits are those future periodic payments that are attributable under the Plan's 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 current actuarial assumptions are based on the presumption that the Plan will continue. If the Plan 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.

The significant actuarial assumptions used in the valuation at January 1, 2019 are as follows:

<u>Description</u>	<u>Assumption</u>
Retirement age	Varies based on the probability of retirement social security retirement age of 55 to 69, with 100% at age 70.
Mortality rates	Aggregate 2006 base rates from the RP-2014 mortality, with 100% blue collar adjustments, projected generationally from 2006 with scale MP-2018.
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 rate	7.1%

Interest rate and mortality actuarial assumptions discussed above have changed since the January 1, 2018 valuation. The effect of these changes is included in the statement of changes in accumulated plan benefits under the caption assumption changes.

INVESTMENT VALUATION AND INCOME RECOGNITION

Investments are reported at fair value. Fair value is 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. The Plan's Investment Committee determines the Plan's valuation policies utilizing information provided by its investment advisers, custodians, and insurance company. See note 3 for a discussion of fair value measurements. Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year and Plan interest in the Master Trust.

PAYMENT OF BENEFITS

Benefit payments to participants are recorded upon distribution.

ADMINISTRATIVE EXPENSES

The Plan's expenses are paid either by the Plan or the Company, as provided by the Plan document. Expenses that are paid directly by the Company are excluded from these financial statements. Certain expenses incurred in connection with the general administration of the Plan that are paid by the Plan are recorded as deductions in the accompanying statements of changes in net assets available for benefits. In addition, certain investment related expenses are included in net appreciation of fair value of investments and the Plan's interest in the Master Trust presented in the accompanying statements of changes in net assets available for benefits.

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES

NOTES TO THE FINANCIAL STATEMENTS

FAIR VALUE MEASUREMENTS

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.

NEW ACCOUNTING PRONOUNCEMENTS

Recently Adopted Accounting Pronouncements

In February 2017, the Financial Accounting Standards Board issued Accounting Standards Update ASU No. 2017-06, "Plan Accounting: Defined Benefit Pension Plans (Topic 960), Defined Contribution Pension Plans (Topic 962), Health and Welfare Benefit Plans (Topic 965): Employee Benefit Plan Master Trust Reporting." ASU No. 2017-06 clarifies the presentation requirements by a plan's interest in a master trust and requires disclosure of the dollar amount of the plan's interest in each investment type held by a master trust, as well as disclosure of the master trust's other assets and liabilities, and the dollar amount of the plan's interest in each of those balances. The Company has adopted ASU No. 2017-06 for the Plan year ending December 31, 2019.

SUBSEQUENT EVENTS

The Plan has evaluated events and transactions for potential recognition or disclosure in the financial statements through September 30, 2020, the date on which the financial statements were available to be issued.

The COVID-19 pandemic has led to volatility in financial markets and has affected, and may continue to affect, the market price of the Plan's investments. The extent of the impact of the COVID-19 pandemic on the Plan will depend on future developments which are highly uncertain and cannot be predicted.

Effective May 1, 2020, administration of the Plan changed from Alight to Aon.

NOTE 3 - FAIR VALUE MEASUREMENTS

The following table sets forth by level, within the fair value hierarchy, Plan assets at fair value as of December 31, 2019.

Investments at Fair Value as of December 31, 2019			
	Level 1	Level 2	Level 3
	Total		
Total assets in the fair value hierarchy	\$ —	\$ —	\$ —
Investments measured at net asset value, as practical expedient *			
Common collective trusts			364,929,970
Total investments at fair value			\$ 364,929,970

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES

NOTES TO THE FINANCIAL STATEMENTS

The following table sets forth by level, within the fair value hierarchy, the Master Trust's assets at fair value as of December 31, 2018. Refer to note 4 for the Plan's interest in the Master Trust by major asset category.

Investments at Fair Value as of December 31, 2018				
	Level 1	Level 2	Level 3	Total
Fixed income securities	\$ 1,513,693,465	\$ 89,429,079	\$ —	\$ 1,603,122,544
Equity securities	806,515,277	157,950,073	—	964,465,350
Total assets in the fair value hierarchy	<u>\$ 2,320,208,742</u>	<u>\$ 247,379,152</u>	<u>\$ —</u>	<u>2,567,587,894</u>
Investments measured at net asset value, as practical expedient *				
Investments in real estate				298,731,367
Total investments at fair value				<u>\$ 2,866,319,261</u>

Certain 2018 amounts in the fair value table have been reclassified to conform with the 2019 presentation.

* The fair value of certain investments do not have a readily determinable fair value and requires the fund managers to independently arrive at fair value by calculating net asset value ("NAV") per share. Due to the fact that the fund managers calculate NAV per share, the Company utilizes a practical expedient for measuring the fair value of certain investments, as provided for under ASC 820, "Fair Value Measurement." In applying the practical expedient, the Company is not required to further adjust the NAV provided by the fund manager in order to determine the fair value of its investment as the NAV per share is calculated in a manner consistent with the measurement principles of ASC 946, "Financial Services - Investment Companies," and as of the Company's measurement date. The Company believes this is an appropriate methodology to obtain the fair value of these assets. In accordance with ASU No. 2015-07, "Disclosures for Investments in Certain Entities That Calculate Net Asset Value per Share (or Its Equivalent)," investments for which fair value is measured using the net asset value per share practical expedient should be disclosed separate from the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of total investments to the amounts presented in the statement of net assets available for benefits and the notes to financial statements.

The following is a description of the valuation methodologies used for assets measured at fair value. Certain assets are held within commingled funds which are valued at the unitized NAV or percentage of the net asset value as determined by the manager of the fund. These values are based on the fair value of the underlying net assets owned by the fund.

Fixed Income Securities: The fair value of fixed income securities is determined by direct or indirect quoted market prices. If 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 Securities: The fair value of equity securities is determined by direct quoted market prices. The underlying holdings are direct quoted market prices on regulated financial exchanges.

Common collective trusts: Fair value represents the net asset value of the fund shares. The NAV is based on the value of the underlying assets owned by the funds. The common collective trusts can be purchased or sold continuously. There is no notice redemption period and the Plan has no obligation to buy additional units.

Real estate: In order to calculate NAV per share, the fund managers value the real estate investments using any one, or a combination of, the following methods: independent third party appraisals, discounted cash flow analysis of net cash flows projected to be generated by the investment and recent sales of comparable investments. Assumptions used to revalue the properties are updated every quarter. For the component of the real estate portfolio under development, the investments are carried at cost until they are completed and valued by a third party appraiser.

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 Company believes its valuation methods are appropriate and consistent

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES NOTES TO THE FINANCIAL STATEMENTS

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.

NOTE 4 - JOHNSON CONTROLS MASTER PENSION TRUST

Prior to the Acquisition the Company was entered into a master trust agreement with the Trustee through April 26, 2019. Under the agreement, the Plan participated under a master trust arrangement whereby all the assets of the Plan were pooled and invested in one or more investment accounts.

The Johnson Controls Master Pension Trust ("Master Trust") held investments in short-term securities, U.S. government securities, bonds, mutual and pooled equity funds, and common stocks as of December 31, 2018.

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

The Plan's interest in the investments of the Master Trust was evidenced by units of participation, as no plan had 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 was prorated to each participating plan in proportion to the number of units held by each plan. Plan participation in the Master Trust was adjusted as required to reflect benefit payments to the Plan's participants and for Company contributions.

The following financial information was obtained from data that has been prepared and certified to as complete and accurate by the Trustee of the Master Trust. Such financial information has not been audited by the Plan's independent accountants. The Plan's units of participation in the Master Trust were sold on April 26, 2019 and therefore held no interest in the Master Trust as of December 31, 2019. The Plan's interest in the Master Trust was 11.2% at December 31, 2018.

**JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
NOTES TO THE FINANCIAL STATEMENTS**

JOHNSON CONTROLS MASTER PENSION TRUST

STATEMENT OF FINANCIAL POSITION

	December 31, 2018	
	Master Trust	Plan Interest
Assets		
Investments at fair value as determined by quoted market price (direct):		
Fixed Income Fund:		
Cash & cash equivalents	\$ 83,456,868	\$ 9,344,961
U.S. government and federal agency securities	312,379,392	34,978,227
Corporate issues	762,046,417	85,329,036
Municipal issues	70,400,465	7,882,989
Foreign issues	154,299,717	17,277,486
Other - fixed income	131,110,606	14,680,919
Equity Investments:		
Domestic stocks	463,371,118	51,885,305
Foreign stocks	343,144,159	38,423,067
Total direct fixed income and equity investments	2,320,208,742	259,801,990
Investments at fair value as determined by quoted market price (indirect):		
Fixed Income Fund:		
Other - fixed income	89,429,079	10,013,691
Equity Investments:		
Domestic stocks	104,344,786	11,683,855
Foreign stocks	53,605,287	6,002,374
Total indirect fixed income and equity investments	247,379,152	27,699,920
Investments measured at net asset value, as practical expedient:		
Investment in real estate	298,731,367	33,450,009
Total investments	2,866,319,261	320,951,919
Due from brokers for securities sold	5,408,664	605,627
Accrued dividends and interest receivable	14,257,148	1,596,423
	<u>\$ 2,885,985,073</u>	<u>\$ 323,153,969</u>
Liabilities and Equity		
Due to brokers for securities purchased	\$ 89,108,857	\$ 9,977,833
Equity	2,796,876,216	313,176,136
	<u>\$ 2,885,985,073</u>	<u>\$ 323,153,969</u>

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES

NOTES TO THE FINANCIAL STATEMENTS

The following are net appreciation in the fair value of investments and investment income for the Master Trust for the year to date period ended April 26, 2019 and year ended December 31, 2018:

	Year to Date Period Ended April 26, 2019	Year Ended December 31, 2018
Net appreciation (depreciation) in fair value of investments	\$ 235,861,562	\$ (211,673,187)
Investment income	37,942,764	82,366,808
Total	\$ 273,804,326	\$ (129,306,379)

NOTE 5 - TAX STATUS

The Company has received a favorable determination letter dated October 12, 2017 from the IRS as to the qualified status of the Plan under the Internal Revenue Code ("IRC") and the plan is, therefore, exempt from federal income taxes. The Plan has been amended since receiving the determination letter, however the Plan administrator believes that the Plan is currently designed and being operated in compliance with applicable requirements of the IRC.

U.S. GAAP requires the Plan's management to evaluate tax positions taken by the Plan and recognize a tax liability 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 Plan, and has concluded that as of December 31, 2019 and 2018, there are no uncertain tax positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is 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 Plan will continue without interruption but reserves the right to discontinue the plan at any time in accordance with Plan provisions and provisions set forth in ERISA. In the event of a plan termination or permanent discontinuance of contributions to the plan, the assets of the plan will be distributed in accordance with the requirements of 29 CFR 4044 of ERISA.

Certain benefits under the Plan 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 Plan 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, considering 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 Plan. 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 Plan 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 Plan, and the amount of benefit protection is subject to certain limitations. Vested benefits under the Plan are guaranteed at the level in effect on the date of the Plan's 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 2020, that ceiling is \$5,813 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

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES

NOTES TO THE FINANCIAL STATEMENTS

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 Plan are considered party-in-interest transactions. These transactions are not considered prohibited transactions under 29 CFR 408(b) of ERISA regulations.

Certain employees and officers of the Company perform administrative services to the Plan at no cost to the Plan.

NOTE 8 - INFORMATION CERTIFIED BY TRUSTEE

Assets of the Plan as shown in the statements of net assets available for benefits, investment income (loss) as shown in the statements of changes in net assets available for benefits, and the Master Trust financial information appearing in note 4, 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 9 - RISKS AND UNCERTAINTIES

The Plan's 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 10 - RESTATEMENT OF COMPANY CONTRIBUTIONS

Subsequent to the issuance of the statement of net assets available for benefits as of December 31, 2018 and the statement of changes in net assets available for benefits for the year ended December 31, 2018, Company contributions of \$35 million were identified relating to the 2018 Plan year. The omission of these contributions represents an oversight of facts that existed prior to the issuance of the financial statements. The financial statements have since been restated.

The following table illustrates the impact of the restatement on the amounts previously stated:

As of and for the Year Ended December 31, 2018				
	Previously Reported		Increase (Decrease)	Restated
Statement of net assets available for benefits:				
Company contributions receivable	\$	—	\$ 35,000,000	\$ 35,000,000
Statement of changes in net assets available for benefits:				
Company contributions	\$	—	\$ 35,000,000	\$ 35,000,000

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
SCHEDULE H, LINE 4i - SCHEDULE OF ASSETS (HELD AT END OF YEAR)
PLAN #016, EIN: 39-1684871
DECEMBER 31, 2019

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost	Current Value
*	Aon Hewitt	Cash Fund - Money Market	\$ 5,416,992	\$ 5,416,992
*	Aon Hewitt	AHGT US Passive Equity	43,454,546	51,739,163
*	Aon Hewitt	AHGT US Int Govt Bond Index	7,750,000	7,877,584
*	Aon Hewitt	AHGT US Long Govt Bond Index	45,650,000	47,499,526
*	Aon Hewitt	AHGT Small Cap Passive Equity	11,107,232	12,714,800
*	Aon Hewitt	AHGT High Yield Bond	32,978,420	34,970,296
*	Aon Hewitt	AHGT Long Fixed Income	75,890,479	83,863,574
*	Aon Hewitt	AHGT Non-US Equity Index	56,176,423	63,363,485
*	Aon Hewitt	AHGT Global Equity	56,114,735	62,901,542
	Total investments		<u>\$ 334,538,827</u>	<u>\$ 370,346,962</u>

* Represents a party-in-interest

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
PLAN #016, EIN: 39-1684871
YEAR ENDED DECEMBER 31, 2019

(a)	(b)	(c)	(d)	(g)	(h)	(i)
Identity of Party Involved	Description of Asset	Purchase Price	Selling Price	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)

See Attachment A

This schedule and related Attachment A have been derived from information certified as complete and accurate by U.S. Bank, N.A.

See Independent Auditor's Report

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 62 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
ENDING MARKET VALUE					370,346,962.06		
COMPARATIVE VALUE (5%)					18,517,348.10		
CATEGORY 1 - SINGLE TRANSACTION EXCEEDS 5% OF VALUE							
Issue: 8AMMF09L7 - US Bank Money Market It&c 2							
04/25/2019	B	315,735,550.390	1.0000		- 315,735,550 *	315,735,550	
04/26/2019	B	35,000,000.000	1.0000		- 35,000,000 *	35,000,000	
06/04/2019	S	- 333,399,206.830	1.0000		333,399,207 *	333,399,207	
Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity							
06/04/2019	B	2,651,610.163	29.8686		- 79,200,000 *	79,200,000	
06/28/2019	S	- 1,033,982.926	30.9580		32,010,000 *	30,883,668	1,126,332
Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index							
06/03/2019	B	3,796,767.084	11.0884		- 42,100,000 *	42,100,000	
Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond							
06/04/2019	B	2,196,773.859	15.9780		- 35,100,000 *	35,100,000	
Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr							
06/04/2019	B	3,715,346.767	19.8366		- 73,700,000 *	73,700,000	
Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi							
06/04/2019	B	6,697,030.231	12.6325		- 84,600,000 *	84,600,000	
06/28/2019	S	- 2,046,191.104	12.7994		26,190,000 *	25,848,438	341,562
Issue: 9SPMTJLB6 - Aon Global Equity							
06/28/2019	B	3,147,531.111	18.4907		- 58,200,000 *	58,200,000	

See Independent Auditor's Report

Attachment A 1/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 63 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
GRAND TOTAL				0	1,115,234,757	1,113,766,863	1,467,894

CATEGORY 2 - SERIES OF TRANSACTIONS WITH SAME BROKER EXCEEDS 5% OF VALUE

Broker: Direct From Issuer

06/03/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	3,796,767.084	11.0884		- 42,100,000 *	42,100,000	
06/03/2019	Issue: 9SPMTJKB7 - Ahgt Fd US Int Govt Bond Index B	670,309.191	10.4429		- 7,000,000	7,000,000	
06/04/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity B	467,709.982	25.0155		- 11,700,000	11,700,000	
06/04/2019	Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond B	2,196,773.859	15.9780		- 35,100,000 *	35,100,000	
06/04/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	3,715,346.767	19.8366		- 73,700,000 *	73,700,000	
06/04/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi B	6,697,030.231	12.6325		- 84,600,000 *	84,600,000	
06/04/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity B	2,651,610.163	29.8686		- 79,200,000 *	79,200,000	
06/18/2019	Issue: 9SPMTJKB7 - Ahgt Fd US Int Govt Bond Index B	43,058.925	1.0451		- 450,000	450,000	
06/19/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	162,873.361	11.0515		- 1,800,000	1,800,000	
06/19/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	135,289.689	19.9572		- 2,700,000	2,700,000	
06/28/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 2,046,191.104	12.7994		26,190,000 *	25,848,438	341,562
06/28/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 1,033,982.926	30.9580		32,010,000 *	30,883,668	1,126,332

See Independent Auditor's Report

Attachment A 2/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 64 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
06/28/2019	Issue: 9SPMTJLB6 - Aon Global Equity B	3,147,531.111	18.4907		- 58,200,000 *	58,200,000	
08/02/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	153,963.532	11.3663		- 1,750,000	1,750,000	
08/02/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 18,904.385	26.4489		500,000	472,903	27,097
08/02/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	152,809.240	20.9411		- 3,200,000	3,200,000	
08/02/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 115,577.612	12.9783		1,500,000	1,460,030	39,970
08/02/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 131,857.281	32.2318		4,250,000	3,938,398	311,602
08/02/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 52,404.870	19.0822		1,000,000	969,002	30,998
09/20/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 1,124.197	26.6857		30,000	28,122	1,878
09/20/2019	Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond S	- 132,781.534	16.5686		2,200,000	2,121,580	78,420
09/20/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr S	- 186,568.687	21.4398		4,000,000	3,709,521	290,479
09/20/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 15,115.916	13.2311		200,000	190,951	9,049
09/20/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 4,556.238	32.9219		150,000	136,089	13,911
09/20/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 10,354.946	19.3144		200,000	191,470	8,530
11/21/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 3,667.430	27.2671		100,000	91,743	8,257

See Independent Auditor's Report

Attachment A 3/14



FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
11/21/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 73,157.369	13.6692		1,000,000	924,158	75,842
11/21/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 26,358.733	34.1443		900,000	787,300	112,700
11/21/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 50,014.004	19.9944		1,000,000	924,793	75,207
Total For Direct From Issuer				0	476,730,000	474,178,166	2,551,834
GRAND TOTAL				0	476,730,000	474,178,166	2,551,834

CATEGORY 3 - SERIES OF TRANSACTIONS IN SAME SECURITY EXCEEDS 5% OF VALUE

Issue: 8AMMF09L7 - US Bank Money Market It&c 2							
04/25/2019	B	315,735,550.390	1.0000		- 315,735,550 *	315,735,550	
04/26/2019	B	35,000,000.000	1.0000		- 35,000,000 *	35,000,000	
04/29/2019	B	243,069.610	1.0000		- 243,070	243,070	
05/02/2019	B	117,763.600	1.0000		- 117,764	117,764	
05/13/2019	B	239.860	1.0000		- 240	240	
05/29/2019	B	74.940	1.0000		- 75	75	
05/30/2019	B	499.440	1.0000		- 499	499	
06/04/2019	B	610,155.060	1.0000		- 610,155	610,155	
06/05/2019	B	3,020.320	1.0000		- 3,020	3,020	
06/21/2019	B	844.990	1.0000		- 845	845	
07/02/2019	B	74,094.240	1.0000		- 74,094	74,094	

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 66 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
07/17/2019	B	696.390	1.0000		- 696	696	
07/19/2019	B	366.470	1.0000		- 366	366	
07/22/2019	B	2,374.090	1.0000		- 2,374	2,374	
07/29/2019	B	696.390	1.0000		- 696	696	
08/02/2019	B	7,044.500	1.0000		- 7,045	7,045	
08/02/2019	B	2,005,552.260	1.0000		- 2,005,552	2,005,552	
08/06/2019	B	3,864,882.960	1.0000		- 3,864,883	3,864,883	
08/08/2019	B	63.750	1.0000		- 64	64	
08/09/2019	B	1,224.340	1.0000		- 1,224	1,224	
08/12/2019	B	797.060	1.0000		- 797	797	
08/13/2019	B	566.680	1.0000		- 567	567	
08/14/2019	B	13,931.440	1.0000		- 13,931	13,931	
08/15/2019	B	2,757.800	1.0000		- 2,758	2,758	
08/23/2019	B	268.640	1.0000		- 269	269	
09/04/2019	B	5,698.320	1.0000		- 5,698	5,698	
09/05/2019	B	332.550	1.0000		- 333	333	
09/10/2019	B	207.630	1.0000		- 208	208	
09/17/2019	B	1,307.230	1.0000		- 1,307	1,307	
09/20/2019	B	6,780,000.000	1.0000		- 6,780,000	6,780,000	
09/23/2019	B	2,430,331.460	1.0000		- 2,430,331	2,430,331	
09/27/2019	B	207.630	1.0000		- 208	208	
10/02/2019	B	7,122.920	1.0000		- 7,123	7,123	

See Independent Auditor's Report

Attachment A 5/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 67 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
10/03/2019	B	107.230	1.0000		- 107	107	
10/04/2019	B	939.810	1.0000		- 940	940	
10/07/2019	B	5,358.030	1.0000		- 5,358	5,358	
10/08/2019	B	245.860	1.0000		- 246	246	
10/09/2019	B	370.230	1.0000		- 370	370	
10/31/2019	B	3,200.000	1.0000		- 3,200	3,200	
11/04/2019	B	8,822.480	1.0000		- 8,822	8,822	
11/07/2019	B	425.650	1.0000		- 426	426	
11/14/2019	B	1,551.420	1.0000		- 1,551	1,551	
11/18/2019	B	1,533.750	1.0000		- 1,534	1,534	
11/20/2019	B	904.450	1.0000		- 904	904	
11/21/2019	B	3,000,000.000	1.0000		- 3,000,000	3,000,000	
11/29/2019	B	1,200.000	1.0000		- 1,200	1,200	
12/03/2019	B	6,008.130	1.0000		- 6,008	6,008	
12/13/2019	B	1,329.900	1.0000		- 1,330	1,330	
Total For Buys				0	369,943,738	369,943,738	0
05/01/2019	S	- 1,911,836.260	1.0000		1,911,836	1,911,836	
05/03/2019	S	- 1,500.000	1.0000		1,500	1,500	
05/13/2019	S	- 239.860	1.0000		240	240	
06/03/2019	S	- 3,299,924.210	1.0000		3,299,924	3,299,924	
06/04/2019	S	- 333,399,206.830	1.0000		333,399,207 *	333,399,207	

See Independent Auditor's Report

Attachment A 6/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 68 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
06/06/2019	S	- 846.770	1.0000		847	847	
06/06/2019	S	- 45,344.520	1.0000		45,345	45,345	
06/14/2019	S	- 2,250.000	1.0000		2,250	2,250	
06/18/2019	S	- 4,949,612.100	1.0000		4,949,612	4,949,612	
06/20/2019	S	- 4,500.000	1.0000		4,500	4,500	
06/25/2019	S	- 22,720.350	1.0000		22,720	22,720	
06/26/2019	S	- 26,495.500	1.0000		26,496	26,496	
07/01/2019	S	- 2,915,587.530	1.0000		2,915,588	2,915,588	
07/05/2019	S	- 14,228.670	1.0000		14,229	14,229	
07/09/2019	S	- 639.660	1.0000		640	640	
07/25/2019	S	- 49,722.690	1.0000		49,723	49,723	
08/01/2019	S	- 3,293,102.040	1.0000		3,293,102	3,293,102	
08/05/2019	S	- 3,864,285.560	1.0000		3,864,286	3,864,286	
08/07/2019	S	- 16,105.520	1.0000		16,106	16,106	
08/08/2019	S	- 63.750	1.0000		64	64	
08/09/2019	S	- 141.800	1.0000		142	142	
08/12/2019	S	- 3,000.000	1.0000		3,000	3,000	
08/13/2019	S	- 566.680	1.0000		567	567	
08/14/2019	S	- 142.440	1.0000		142	142	
08/21/2019	S	- 2,757.800	1.0000		2,758	2,758	
08/29/2019	S	- 14,192.610	1.0000		14,193	14,193	
09/03/2019	S	- 1,449,280.740	1.0000		1,449,281	1,449,281	

See Independent Auditor's Report

Attachment A 7/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 69 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
09/10/2019	S	- 207.630	1.0000		208	208	
09/23/2019	S	- 331.460	1.0000		331	331	
09/24/2019	S	- 2,430,000.000	1.0000		2,430,000	2,430,000	
10/01/2019	S	- 2,065,139.900	1.0000		2,065,140	2,065,140	
10/02/2019	S	- 14,463.010	1.0000		14,463	14,463	
10/10/2019	S	- 345.690	1.0000		346	346	
10/10/2019	S	- 1,292.220	1.0000		1,292	1,292	
10/11/2019	S	- 600,802.280	1.0000		600,802	600,802	
10/15/2019	S	- 2,050.000	1.0000		2,050	2,050	
10/22/2019	S	- 145.760	1.0000		146	146	
10/23/2019	S	- 207.630	1.0000		208	208	
10/24/2019	S	- 73,748.340	1.0000		73,748	73,748	
10/31/2019	S	- 3,200.000	1.0000		3,200	3,200	
11/01/2019	S	- 2,031,724.790	1.0000		2,031,725	2,031,725	
11/06/2019	S	- 13,889.320	1.0000		13,889	13,889	
11/07/2019	S	- 425.650	1.0000		426	426	
11/25/2019	S	- 36,781.250	1.0000		36,781	36,781	
11/29/2019	S	- 1,200.000	1.0000		1,200	1,200	
12/02/2019	S	- 1,965,506.940	1.0000		1,965,507	1,965,507	
12/11/2019	S	- 160.000	1.0000		160	160	
12/13/2019	S	- 2,770.360	1.0000		2,770	2,770	

See Independent Auditor's Report

Attachment A 8/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 70 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
Total For Sells				0	364,532,690	364,532,690	0
Total US Bank Money Market It&c 2				0	734,476,428	734,476,428	0
Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity							
06/04/2019	B	2,651,610.163	29.8686		- 79,200,000 *	79,200,000	
Total For Buys				0	79,200,000	79,200,000	0
06/28/2019	S	- 1,033,982.926	30.9580		32,010,000 *	30,883,668	1,126,332
08/02/2019	S	- 131,857.281	32.2318		4,250,000	3,938,398	311,602
09/20/2019	S	- 4,556.238	32.9219		150,000	136,089	13,911
11/21/2019	S	- 26,358.733	34.1443		900,000	787,300	112,700
Total For Sells				0	37,310,000	35,745,455	1,564,545
Total Ahgt Fund US Passive Equity				0	116,510,000	114,945,455	1,564,545
Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index							
06/03/2019	B	3,796,767.084	11.0884		- 42,100,000 *	42,100,000	
06/19/2019	B	162,873.361	11.0515		- 1,800,000	1,800,000	
08/02/2019	B	153,963.532	11.3663		- 1,750,000	1,750,000	
Total For Buys				0	45,650,000	45,650,000	0

See Independent Auditor's Report

Attachment A 9/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 71 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
Total Ahgt Fd US Long Govt Bond Index				0	45,650,000	45,650,000	0
Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond							
06/04/2019	B	2,196,773.859	15.9780		- 35,100,000 *	35,100,000	
Total For Buys				0	35,100,000	35,100,000	0
09/20/2019	S	- 132,781.534	16.5686		2,200,000	2,121,580	78,420
Total For Sells				0	2,200,000	2,121,580	78,420
Total Ahgt Fund High Yield Bond				0	37,300,000	37,221,580	78,420
Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr							
06/04/2019	B	3,715,346.767	19.8366		- 73,700,000 *	73,700,000	
06/19/2019	B	135,289.689	19.9572		- 2,700,000	2,700,000	
08/02/2019	B	152,809.240	20.9411		- 3,200,000	3,200,000	
Total For Buys				0	79,600,000	79,600,000	0
09/20/2019	S	- 186,568.687	21.4398		4,000,000	3,709,521	290,479
Total For Sells				0	4,000,000	3,709,521	290,479
Total Ahgt Fd US Long Fix Inc Act Cr				0	83,600,000	83,309,521	290,479

See Independent Auditor's Report

Attachment A 10/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 72 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi							
06/04/2019	B	6,697,030.231	12.6325		- 84,600,000 *	84,600,000	
Total For Buys				0	84,600,000	84,600,000	0
06/28/2019	S	- 2,046,191.104	12.7994		26,190,000 *	25,848,438	341,562
08/02/2019	S	- 115,577.612	12.9783		1,500,000	1,460,030	39,970
09/20/2019	S	- 15,115.916	13.2311		200,000	190,951	9,049
11/21/2019	S	- 73,157.369	13.6692		1,000,000	924,158	75,842
Total For Sells				0	28,890,000	28,423,577	466,423
Total Ahgt Fd Non-US Eq Index Fd Acwi				0	113,490,000	113,023,577	466,423
Issue: 9SPMTJLB6 - Aon Global Equity							
06/28/2019	B	3,147,531.111	18.4907		- 58,200,000 *	58,200,000	
Total For Buys				0	58,200,000	58,200,000	0
08/02/2019	S	- 52,404.870	19.0822		1,000,000	969,002	30,998
09/20/2019	S	- 10,354.946	19.3144		200,000	191,470	8,530
11/21/2019	S	- 50,014.004	19.9944		1,000,000	924,793	75,207
Total For Sells				0	2,200,000	2,085,265	114,735

See Independent Auditor's Report

Attachment A 11/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 73 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
Total Aon Global Equity				0	60,400,000	60,285,265	114,735
GRAND TOTAL				0	1,191,426,428	1,188,911,826	2,514,602

CATEGORY 4 - SINGLE TRANSACTION WITH ONE BROKER EXCEEDS 5% OF VALUE

Broker: Direct From Issuer

06/03/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	3,796,767.084	11.0884		- 42,100,000 *	42,100,000	
06/03/2019	Issue: 9SPMTJKB7 - Ahgt Fd US Int Govt Bond Index B	670,309.191	10.4429		- 7,000,000	7,000,000	
06/04/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity B	467,709.982	25.0155		- 11,700,000	11,700,000	
06/04/2019	Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond B	2,196,773.859	15.9780		- 35,100,000 *	35,100,000	
06/04/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	3,715,346.767	19.8366		- 73,700,000 *	73,700,000	
06/04/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi B	6,697,030.231	12.6325		- 84,600,000 *	84,600,000	
06/04/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity B	2,651,610.163	29.8686		- 79,200,000 *	79,200,000	
06/18/2019	Issue: 9SPMTJKB7 - Ahgt Fd US Int Govt Bond Index B	43,058.925	1.0451		- 450,000	450,000	
06/19/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	162,873.361	11.0515		- 1,800,000	1,800,000	
06/19/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	135,289.689	19.9572		- 2,700,000	2,700,000	

See Independent Auditor's Report

Attachment A 12/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 74 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
06/28/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 2,046,191.104	12.7994		26,190,000 *	25,848,438	341,562
06/28/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 1,033,982.926	30.9580		32,010,000 *	30,883,668	1,126,332
06/28/2019	Issue: 9SPMTJLB6 - Aon Global Equity B	3,147,531.111	18.4907		- 58,200,000 *	58,200,000	
08/02/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	153,963.532	11.3663		- 1,750,000	1,750,000	
08/02/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 18,904.385	26.4489		500,000	472,903	27,097
08/02/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	152,809.240	20.9411		- 3,200,000	3,200,000	
08/02/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 115,577.612	12.9783		1,500,000	1,460,030	39,970
08/02/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 131,857.281	32.2318		4,250,000	3,938,398	311,602
08/02/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 52,404.870	19.0822		1,000,000	969,002	30,998
09/20/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 1,124.197	26.6857		30,000	28,122	1,878
09/20/2019	Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond S	- 132,781.534	16.5686		2,200,000	2,121,580	78,420
09/20/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr S	- 186,568.687	21.4398		4,000,000	3,709,521	290,479
09/20/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 15,115.916	13.2311		200,000	190,951	9,049
09/20/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 4,556.238	32.9219		150,000	136,089	13,911

See Independent Auditor's Report

Attachment A 13/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 75 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
09/20/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 10,354.946	19.3144		200,000	191,470	8,530
11/21/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 3,667.430	27.2671		100,000	91,743	8,257
11/21/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 73,157.369	13.6692		1,000,000	924,158	75,842
11/21/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 26,358.733	34.1443		900,000	787,300	112,700
11/21/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 50,014.004	19.9944		1,000,000	924,793	75,207
Total For Direct From Issuer				0	476,730,000	474,178,166	2,551,834
GRAND TOTAL				0	476,730,000	474,178,166	2,551,834

See Independent Auditor's Report

Attachment A 14/14

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Schedule SB, line 26—Schedule of Active Participant Data as of January 1, 2019

Attained Age	Number of Participants and Average Compensation									
	Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25	8	22 \$69,664								
25-29	13	64 \$75,478	22 \$73,192							
30-34	9	59 \$72,705	70 \$76,438	20 \$77,528						
35-39	8	56 \$75,193	60 \$75,938	47 \$74,784	5	3				
40-44	6	40 \$80,157	79 \$75,353	45 \$73,153	27 \$81,840	35 \$84,596				
45-49	9	43 \$86,612	50 \$74,684	54 \$79,501	32 \$83,996	88 \$80,014	4	2		
50-54	4	23 \$85,493	83 \$72,423	45 \$76,212	39 \$79,093	63 \$77,824	15	36 \$77,605	4	
55-59	6	22 \$79,292	42 \$71,685	52 \$72,585	37 \$79,701	77 \$73,890	26 \$83,086	55 \$76,204	57 \$75,868	4
60-64	1	10	25 \$72,758	21 \$68,006	15	32 \$76,111	10	25 \$74,756	44 \$76,417	12
65-69		1	8	2	2	3	1	1	8	5
70+										

N-1896

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

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 2018), each adjusted as needed to fall within the 25-year average interest rate stabilization corridor
1st Segment Rate	3.74%
2nd Segment Rate	5.35%
3rd Segment Rate	6.11%
Interest Rates for Maximum Tax Purposes	Based on segment rates with a four-month lookback (as of September 2018), without regard to interest rate stabilization
1st Segment Rate	2.28%
2nd Segment Rate	3.81%
3rd Segment Rate	4.46%
Salary Increases	
Minimum Funding Target Normal Cost	See Table 1
Maximum Tax Expected Benefit Increase	See Table 1
Optional Payment Form Election Percentage	
Retirement Eligible Employees	18% single life annuity 22% joint and 75% survivor annuity 60% lump sum
Nonretirement Eligible Employees	14% single life annuity 16% joint and 75% survivor annuity 70% lump sum
Lump Sum Conversion Interest Rate	Same as funding interest rates above
Lump Sum Conversion Mortality	Current IRC section 417(e) table for lump sums
Retirement Age	
Active Participants	See Table 2
Terminated Vested Participants	Age 60
Mortality Rates	
Healthy and Disabled	2019 static mortality table for annuitants and non- annuitants per §1.430(h)(3)-1(e) and IRS Notice 2018-02
Withdrawal Rates	See Table 3

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Disability Rates	See Table 4
Decrement Timing	Middle of year decrements (except that retirement is assumed to occur at the beginning of the year for ages where the assumed retirement rate is 100%)
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.
Valuation Compensation	Earnings considered “wages” for federal income tax withholding purposes excluding LTD benefits, reimbursed expenses, and pension contributions.
Benefit and Compensation Limits	Projected benefits and compensation are limited by the current IRC section 415 maximum benefit of \$225,000 and the IRC section 401(a)(17) compensation limit of \$280,000.
Valuation of Plan Assets	Fair market value
Trust Expenses Included in Target Normal Cost	The prior year's actual expenses (excluding PBGC premium) plus the estimated PBGC premium for the current year, \$902,456 for 2019
Actuarial Method	Standard unit credit cost method
Valuation Date	January 1, 2019

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Table 1

Salary Merit Increase Rates

Age	Rate	Age	Rate
15	5.00%	45	3.75%
16	5.00%	46	3.75%
17	5.00%	47	3.75%
18	5.00%	48	3.75%
19	5.00%	49	3.75%
20	5.00%	50	3.75%
21	5.00%	51	3.75%
22	5.00%	52	3.75%
23	5.00%	53	3.75%
24	5.00%	54	3.75%
25	5.00%	55+	3.25%
26	5.00%		
27	5.00%		
28	5.00%		
29	5.00%		
30	5.00%		
31	5.00%		
32	5.00%		
33	5.00%		
34	5.00%		
35	4.25%		
36	4.25%		
37	4.25%		
38	4.25%		
39	4.25%		
40	4.25%		
41	4.25%		
42	4.25%		
43	4.25%		
44	4.25%		

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Table 2

Retirement Rates

Age	Rate
55	3.00%
56	5.00%
57	5.00%
58	3.00%
59	6.00%
60	6.00%
61	20.00%
62	50.00%
63	25.00%
64	15.00%
65	50.00%
66	50.00%
67	40.00%
68	40.00%
69	40.00%
70+	100.00%

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Table 3—Page 1 of 4

Withdrawal Rates—Male

Age	Years of Service			
	0	1	2	3+
15	26.00%	16.00%	12.00%	10.50%
16	26.00%	16.00%	12.00%	10.50%
17	26.00%	16.00%	12.00%	10.50%
18	26.00%	16.00%	12.00%	10.50%
19	26.00%	16.00%	12.00%	10.50%
20	26.00%	16.00%	12.00%	10.50%
21	26.00%	16.00%	12.00%	10.25%
22	26.00%	16.00%	12.00%	10.00%
23	26.00%	16.00%	12.00%	9.75%
24	26.00%	16.00%	12.00%	9.50%
25	26.00%	16.00%	12.00%	9.25%
26	26.00%	16.00%	12.00%	9.00%
27	26.00%	16.00%	12.00%	8.75%
28	26.00%	16.00%	12.00%	8.50%
29	26.00%	16.00%	12.00%	8.25%
30	26.00%	16.00%	12.00%	8.00%
31	26.00%	16.00%	12.00%	7.75%
32	26.00%	16.00%	12.00%	7.50%
33	26.00%	16.00%	12.00%	7.25%
34	26.00%	16.00%	12.00%	7.00%
35	26.00%	16.00%	12.00%	5.50%
36	26.00%	16.00%	12.00%	5.50%
37	26.00%	16.00%	12.00%	5.50%
38	26.00%	16.00%	12.00%	5.50%
39	26.00%	16.00%	12.00%	5.50%
40	26.00%	16.00%	12.00%	4.00%
41	26.00%	16.00%	12.00%	4.00%
42	26.00%	16.00%	12.00%	4.00%
43	26.00%	16.00%	12.00%	4.00%
44	26.00%	16.00%	12.00%	4.00%

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Table 3—Page 2 of 4

Withdrawal Rates—Male

Age	Years of Service			
	0	1	2	3+
45	26.00%	16.00%	12.00%	3.25%
46	26.00%	16.00%	12.00%	3.25%
47	26.00%	16.00%	12.00%	3.25%
48	26.00%	16.00%	12.00%	3.25%
49	26.00%	16.00%	12.00%	3.25%
50	26.00%	16.00%	12.00%	2.50%
51	26.00%	16.00%	12.00%	2.50%
52	26.00%	16.00%	12.00%	2.50%
53	26.00%	16.00%	12.00%	2.50%
54	26.00%	16.00%	12.00%	2.50%
55	26.00%	16.00%	12.00%	7.00%
56	26.00%	16.00%	12.00%	7.00%
57	26.00%	16.00%	12.00%	7.00%
58	26.00%	16.00%	12.00%	7.00%
59+	26.00%	16.00%	12.00%	7.00%

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Table 3—Page 3 of 4

Withdrawal Rates—Female

Age	Years of Service			
	0	1	2	3+
15	25.00%	15.00%	15.00%	14.20%
16	25.00%	15.00%	15.00%	14.20%
17	25.00%	15.00%	15.00%	14.20%
18	25.00%	15.00%	15.00%	14.20%
19	25.00%	15.00%	15.00%	14.20%
20	25.00%	15.00%	15.00%	14.20%
21	25.00%	15.00%	15.00%	13.87%
22	25.00%	15.00%	15.00%	13.53%
23	25.00%	15.00%	15.00%	13.20%
24	25.00%	15.00%	15.00%	12.86%
25	25.00%	15.00%	15.00%	12.53%
26	25.00%	15.00%	15.00%	12.19%
27	25.00%	15.00%	15.00%	11.86%
28	25.00%	15.00%	15.00%	11.53%
29	25.00%	15.00%	15.00%	11.19%
30	25.00%	15.00%	15.00%	10.86%
31	25.00%	15.00%	15.00%	10.52%
32	25.00%	15.00%	15.00%	10.19%
33	25.00%	15.00%	15.00%	9.86%
34	25.00%	15.00%	15.00%	9.52%
35	25.00%	15.00%	15.00%	9.19%
36	25.00%	15.00%	15.00%	8.85%
37	25.00%	15.00%	15.00%	8.52%
38	25.00%	15.00%	15.00%	8.18%
39	25.00%	15.00%	15.00%	7.85%
40	25.00%	15.00%	15.00%	7.52%
41	25.00%	15.00%	15.00%	7.18%
42	25.00%	15.00%	15.00%	6.85%
43	25.00%	15.00%	15.00%	6.51%
44	25.00%	15.00%	15.00%	6.18%

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Table 3—Page 4 of 4

Withdrawal Rates—Female

Age	Years of Service			
	0	1	2	3+
45	25.00%	15.00%	15.00%	5.84%
46	25.00%	15.00%	15.00%	5.51%
47	25.00%	15.00%	15.00%	5.18%
48	25.00%	15.00%	15.00%	4.84%
49	25.00%	15.00%	15.00%	4.51%
50	25.00%	15.00%	15.00%	4.17%
51	25.00%	15.00%	15.00%	3.84%
52	25.00%	15.00%	15.00%	3.51%
53	25.00%	15.00%	15.00%	3.17%
54	25.00%	15.00%	15.00%	2.84%
55	25.00%	15.00%	15.00%	7.00%
56	25.00%	15.00%	15.00%	7.00%
57	25.00%	15.00%	15.00%	7.00%
58	25.00%	15.00%	15.00%	7.00%
59+	25.00%	15.00%	15.00%	7.00%

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Table 4

Disability Rates

Age	Male	Female	Age	Male	Female
15	0.03%	0.03%	45	0.16%	0.24%
16	0.03%	0.03%	46	0.18%	0.27%
17	0.03%	0.03%	47	0.21%	0.30%
18	0.03%	0.03%	48	0.25%	0.33%
19	0.03%	0.03%	49	0.28%	0.36%
20	0.03%	0.03%	50	0.33%	0.40%
21	0.03%	0.03%	51	0.39%	0.44%
22	0.03%	0.03%	52	0.46%	0.49%
23	0.03%	0.03%	53	0.53%	0.54%
24	0.03%	0.03%	54	0.61%	0.59%
25	0.03%	0.03%	55	0.69%	0.64%
26	0.03%	0.03%	56	0.77%	0.69%
27	0.03%	0.03%	57	0.86%	0.74%
28	0.03%	0.04%	58	0.95%	0.80%
29	0.03%	0.04%	59	1.05%	0.85%
30	0.03%	0.04%	60	1.15%	0.90%
31	0.03%	0.05%	61	1.26%	0.96%
32	0.03%	0.05%	62	1.38%	1.01%
33	0.03%	0.06%	63	1.51%	1.05%
34	0.03%	0.06%	64	1.64%	1.09%
35	0.04%	0.07%	65+	0.00%	0.00%
36	0.04%	0.08%			
37	0.05%	0.09%			
38	0.06%	0.10%			
39	0.07%	0.12%			
40	0.08%	0.13%			
41	0.09%	0.15%			
42	0.10%	0.17%			
43	0.12%	0.19%			
44	0.14%	0.22%			

JOHNSON CONTROLS PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
PLAN #016, EIN: 39-1684871
YEAR ENDED DECEMBER 31, 2019

(a)	(b)	(c)	(d)	(g)	(h)	(i)
Identity of Party Involved	Description of Asset	Purchase Price	Selling Price	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)

See Attachment A

This schedule and related Attachment A have been derived from information certified as complete and accurate by U.S. Bank, N.A.

See Independent Auditor's Report

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 62 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
ENDING MARKET VALUE					370,346,962.06		
COMPARATIVE VALUE (5%)					18,517,348.10		
CATEGORY 1 - SINGLE TRANSACTION EXCEEDS 5% OF VALUE							
Issue: 8AMMF09L7 - US Bank Money Market It&c 2							
04/25/2019	B	315,735,550.390	1.0000		- 315,735,550 *	315,735,550	
04/26/2019	B	35,000,000.000	1.0000		- 35,000,000 *	35,000,000	
06/04/2019	S	- 333,399,206.830	1.0000		333,399,207 *	333,399,207	
Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity							
06/04/2019	B	2,651,610.163	29.8686		- 79,200,000 *	79,200,000	
06/28/2019	S	- 1,033,982.926	30.9580		32,010,000 *	30,883,668	1,126,332
Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index							
06/03/2019	B	3,796,767.084	11.0884		- 42,100,000 *	42,100,000	
Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond							
06/04/2019	B	2,196,773.859	15.9780		- 35,100,000 *	35,100,000	
Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr							
06/04/2019	B	3,715,346.767	19.8366		- 73,700,000 *	73,700,000	
Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi							
06/04/2019	B	6,697,030.231	12.6325		- 84,600,000 *	84,600,000	
06/28/2019	S	- 2,046,191.104	12.7994		26,190,000 *	25,848,438	341,562
Issue: 9SPMTJLB6 - Aon Global Equity							
06/28/2019	B	3,147,531.111	18.4907		- 58,200,000 *	58,200,000	

See Independent Auditor's Report

Attachment A 1/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 63 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
GRAND TOTAL				0	1,115,234,757	1,113,766,863	1,467,894

CATEGORY 2 - SERIES OF TRANSACTIONS WITH SAME BROKER EXCEEDS 5% OF VALUE

Broker: Direct From Issuer

06/03/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	3,796,767.084	11.0884		- 42,100,000 *	42,100,000	
06/03/2019	Issue: 9SPMTJKB7 - Ahgt Fd US Int Govt Bond Index B	670,309.191	10.4429		- 7,000,000	7,000,000	
06/04/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity B	467,709.982	25.0155		- 11,700,000	11,700,000	
06/04/2019	Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond B	2,196,773.859	15.9780		- 35,100,000 *	35,100,000	
06/04/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	3,715,346.767	19.8366		- 73,700,000 *	73,700,000	
06/04/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi B	6,697,030.231	12.6325		- 84,600,000 *	84,600,000	
06/04/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity B	2,651,610.163	29.8686		- 79,200,000 *	79,200,000	
06/18/2019	Issue: 9SPMTJKB7 - Ahgt Fd US Int Govt Bond Index B	43,058.925	1.0451		- 450,000	450,000	
06/19/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	162,873.361	11.0515		- 1,800,000	1,800,000	
06/19/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	135,289.689	19.9572		- 2,700,000	2,700,000	
06/28/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 2,046,191.104	12.7994		26,190,000 *	25,848,438	341,562
06/28/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 1,033,982.926	30.9580		32,010,000 *	30,883,668	1,126,332

See Independent Auditor's Report

Attachment A 2/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 64 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
06/28/2019	Issue: 9SPMTJLB6 - Aon Global Equity B	3,147,531.111	18.4907		- 58,200,000 *	58,200,000	
08/02/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	153,963.532	11.3663		- 1,750,000	1,750,000	
08/02/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 18,904.385	26.4489		500,000	472,903	27,097
08/02/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	152,809.240	20.9411		- 3,200,000	3,200,000	
08/02/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 115,577.612	12.9783		1,500,000	1,460,030	39,970
08/02/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 131,857.281	32.2318		4,250,000	3,938,398	311,602
08/02/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 52,404.870	19.0822		1,000,000	969,002	30,998
09/20/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 1,124.197	26.6857		30,000	28,122	1,878
09/20/2019	Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond S	- 132,781.534	16.5686		2,200,000	2,121,580	78,420
09/20/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr S	- 186,568.687	21.4398		4,000,000	3,709,521	290,479
09/20/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 15,115.916	13.2311		200,000	190,951	9,049
09/20/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 4,556.238	32.9219		150,000	136,089	13,911
09/20/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 10,354.946	19.3144		200,000	191,470	8,530
11/21/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 3,667.430	27.2671		100,000	91,743	8,257

See Independent Auditor's Report

Attachment A 3/14



FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
11/21/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 73,157.369	13.6692		1,000,000	924,158	75,842
11/21/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 26,358.733	34.1443		900,000	787,300	112,700
11/21/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 50,014.004	19.9944		1,000,000	924,793	75,207
Total For Direct From Issuer				0	476,730,000	474,178,166	2,551,834
GRAND TOTAL				0	476,730,000	474,178,166	2,551,834

CATEGORY 3 - SERIES OF TRANSACTIONS IN SAME SECURITY EXCEEDS 5% OF VALUE

Issue: 8AMMF09L7 - US Bank Money Market It&c 2

04/25/2019	B	315,735,550.390	1.0000		- 315,735,550 *	315,735,550
04/26/2019	B	35,000,000.000	1.0000		- 35,000,000 *	35,000,000
04/29/2019	B	243,069.610	1.0000		- 243,070	243,070
05/02/2019	B	117,763.600	1.0000		- 117,764	117,764
05/13/2019	B	239.860	1.0000		- 240	240
05/29/2019	B	74.940	1.0000		- 75	75
05/30/2019	B	499.440	1.0000		- 499	499
06/04/2019	B	610,155.060	1.0000		- 610,155	610,155
06/05/2019	B	3,020.320	1.0000		- 3,020	3,020
06/21/2019	B	844.990	1.0000		- 845	845
07/02/2019	B	74,094.240	1.0000		- 74,094	74,094

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 66 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
07/17/2019	B	696.390	1.0000		- 696	696	
07/19/2019	B	366.470	1.0000		- 366	366	
07/22/2019	B	2,374.090	1.0000		- 2,374	2,374	
07/29/2019	B	696.390	1.0000		- 696	696	
08/02/2019	B	7,044.500	1.0000		- 7,045	7,045	
08/02/2019	B	2,005,552.260	1.0000		- 2,005,552	2,005,552	
08/06/2019	B	3,864,882.960	1.0000		- 3,864,883	3,864,883	
08/08/2019	B	63.750	1.0000		- 64	64	
08/09/2019	B	1,224.340	1.0000		- 1,224	1,224	
08/12/2019	B	797.060	1.0000		- 797	797	
08/13/2019	B	566.680	1.0000		- 567	567	
08/14/2019	B	13,931.440	1.0000		- 13,931	13,931	
08/15/2019	B	2,757.800	1.0000		- 2,758	2,758	
08/23/2019	B	268.640	1.0000		- 269	269	
09/04/2019	B	5,698.320	1.0000		- 5,698	5,698	
09/05/2019	B	332.550	1.0000		- 333	333	
09/10/2019	B	207.630	1.0000		- 208	208	
09/17/2019	B	1,307.230	1.0000		- 1,307	1,307	
09/20/2019	B	6,780,000.000	1.0000		- 6,780,000	6,780,000	
09/23/2019	B	2,430,331.460	1.0000		- 2,430,331	2,430,331	
09/27/2019	B	207.630	1.0000		- 208	208	
10/02/2019	B	7,122.920	1.0000		- 7,123	7,123	

See Independent Auditor's Report

Attachment A 5/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 67 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
10/03/2019	B	107.230	1.0000		- 107	107	
10/04/2019	B	939.810	1.0000		- 940	940	
10/07/2019	B	5,358.030	1.0000		- 5,358	5,358	
10/08/2019	B	245.860	1.0000		- 246	246	
10/09/2019	B	370.230	1.0000		- 370	370	
10/31/2019	B	3,200.000	1.0000		- 3,200	3,200	
11/04/2019	B	8,822.480	1.0000		- 8,822	8,822	
11/07/2019	B	425.650	1.0000		- 426	426	
11/14/2019	B	1,551.420	1.0000		- 1,551	1,551	
11/18/2019	B	1,533.750	1.0000		- 1,534	1,534	
11/20/2019	B	904.450	1.0000		- 904	904	
11/21/2019	B	3,000,000.000	1.0000		- 3,000,000	3,000,000	
11/29/2019	B	1,200.000	1.0000		- 1,200	1,200	
12/03/2019	B	6,008.130	1.0000		- 6,008	6,008	
12/13/2019	B	1,329.900	1.0000		- 1,330	1,330	
Total For Buys				0	369,943,738	369,943,738	0
05/01/2019	S	- 1,911,836.260	1.0000		1,911,836	1,911,836	
05/03/2019	S	- 1,500.000	1.0000		1,500	1,500	
05/13/2019	S	- 239.860	1.0000		240	240	
06/03/2019	S	- 3,299,924.210	1.0000		3,299,924	3,299,924	
06/04/2019	S	- 333,399,206.830	1.0000		333,399,207 *	333,399,207	

See Independent Auditor's Report

Attachment A 6/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 68 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
06/06/2019	S	- 846.770	1.0000		847	847	
06/06/2019	S	- 45,344.520	1.0000		45,345	45,345	
06/14/2019	S	- 2,250.000	1.0000		2,250	2,250	
06/18/2019	S	- 4,949,612.100	1.0000		4,949,612	4,949,612	
06/20/2019	S	- 4,500.000	1.0000		4,500	4,500	
06/25/2019	S	- 22,720.350	1.0000		22,720	22,720	
06/26/2019	S	- 26,495.500	1.0000		26,496	26,496	
07/01/2019	S	- 2,915,587.530	1.0000		2,915,588	2,915,588	
07/05/2019	S	- 14,228.670	1.0000		14,229	14,229	
07/09/2019	S	- 639.660	1.0000		640	640	
07/25/2019	S	- 49,722.690	1.0000		49,723	49,723	
08/01/2019	S	- 3,293,102.040	1.0000		3,293,102	3,293,102	
08/05/2019	S	- 3,864,285.560	1.0000		3,864,286	3,864,286	
08/07/2019	S	- 16,105.520	1.0000		16,106	16,106	
08/08/2019	S	- 63.750	1.0000		64	64	
08/09/2019	S	- 141.800	1.0000		142	142	
08/12/2019	S	- 3,000.000	1.0000		3,000	3,000	
08/13/2019	S	- 566.680	1.0000		567	567	
08/14/2019	S	- 142.440	1.0000		142	142	
08/21/2019	S	- 2,757.800	1.0000		2,758	2,758	
08/29/2019	S	- 14,192.610	1.0000		14,193	14,193	
09/03/2019	S	- 1,449,280.740	1.0000		1,449,281	1,449,281	

See Independent Auditor's Report

Attachment A 7/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 69 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
09/10/2019	S	- 207.630	1.0000		208	208	
09/23/2019	S	- 331.460	1.0000		331	331	
09/24/2019	S	- 2,430,000.000	1.0000		2,430,000	2,430,000	
10/01/2019	S	- 2,065,139.900	1.0000		2,065,140	2,065,140	
10/02/2019	S	- 14,463.010	1.0000		14,463	14,463	
10/10/2019	S	- 345.690	1.0000		346	346	
10/10/2019	S	- 1,292.220	1.0000		1,292	1,292	
10/11/2019	S	- 600,802.280	1.0000		600,802	600,802	
10/15/2019	S	- 2,050.000	1.0000		2,050	2,050	
10/22/2019	S	- 145.760	1.0000		146	146	
10/23/2019	S	- 207.630	1.0000		208	208	
10/24/2019	S	- 73,748.340	1.0000		73,748	73,748	
10/31/2019	S	- 3,200.000	1.0000		3,200	3,200	
11/01/2019	S	- 2,031,724.790	1.0000		2,031,725	2,031,725	
11/06/2019	S	- 13,889.320	1.0000		13,889	13,889	
11/07/2019	S	- 425.650	1.0000		426	426	
11/25/2019	S	- 36,781.250	1.0000		36,781	36,781	
11/29/2019	S	- 1,200.000	1.0000		1,200	1,200	
12/02/2019	S	- 1,965,506.940	1.0000		1,965,507	1,965,507	
12/11/2019	S	- 160.000	1.0000		160	160	
12/13/2019	S	- 2,770.360	1.0000		2,770	2,770	

See Independent Auditor's Report

Attachment A 8/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 70 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
Total For Sells				0	364,532,690	364,532,690	0
Total US Bank Money Market It&c 2				0	734,476,428	734,476,428	0
Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity							
06/04/2019	B	2,651,610.163	29.8686		- 79,200,000 *	79,200,000	
Total For Buys				0	79,200,000	79,200,000	0
06/28/2019	S	- 1,033,982.926	30.9580		32,010,000 *	30,883,668	1,126,332
08/02/2019	S	- 131,857.281	32.2318		4,250,000	3,938,398	311,602
09/20/2019	S	- 4,556.238	32.9219		150,000	136,089	13,911
11/21/2019	S	- 26,358.733	34.1443		900,000	787,300	112,700
Total For Sells				0	37,310,000	35,745,455	1,564,545
Total Ahgt Fund US Passive Equity				0	116,510,000	114,945,455	1,564,545
Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index							
06/03/2019	B	3,796,767.084	11.0884		- 42,100,000 *	42,100,000	
06/19/2019	B	162,873.361	11.0515		- 1,800,000	1,800,000	
08/02/2019	B	153,963.532	11.3663		- 1,750,000	1,750,000	
Total For Buys				0	45,650,000	45,650,000	0

See Independent Auditor's Report

Attachment A 9/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 71 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
Total Ahgt Fd US Long Govt Bond Index				0	45,650,000	45,650,000	0
Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond							
06/04/2019	B	2,196,773.859	15.9780		- 35,100,000 *	35,100,000	
Total For Buys				0	35,100,000	35,100,000	0
09/20/2019	S	- 132,781.534	16.5686		2,200,000	2,121,580	78,420
Total For Sells				0	2,200,000	2,121,580	78,420
Total Ahgt Fund High Yield Bond				0	37,300,000	37,221,580	78,420
Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr							
06/04/2019	B	3,715,346.767	19.8366		- 73,700,000 *	73,700,000	
06/19/2019	B	135,289.689	19.9572		- 2,700,000	2,700,000	
08/02/2019	B	152,809.240	20.9411		- 3,200,000	3,200,000	
Total For Buys				0	79,600,000	79,600,000	0
09/20/2019	S	- 186,568.687	21.4398		4,000,000	3,709,521	290,479
Total For Sells				0	4,000,000	3,709,521	290,479
Total Ahgt Fd US Long Fix Inc Act Cr				0	83,600,000	83,309,521	290,479

See Independent Auditor's Report

Attachment A 10/14



FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi							
06/04/2019	B	6,697,030.231	12.6325		- 84,600,000 *	84,600,000	
Total For Buys				0	84,600,000	84,600,000	0
06/28/2019	S	- 2,046,191.104	12.7994		26,190,000 *	25,848,438	341,562
08/02/2019	S	- 115,577.612	12.9783		1,500,000	1,460,030	39,970
09/20/2019	S	- 15,115.916	13.2311		200,000	190,951	9,049
11/21/2019	S	- 73,157.369	13.6692		1,000,000	924,158	75,842
Total For Sells				0	28,890,000	28,423,577	466,423
Total Ahgt Fd Non-US Eq Index Fd Acwi				0	113,490,000	113,023,577	466,423
Issue: 9SPMTJLB6 - Aon Global Equity							
06/28/2019	B	3,147,531.111	18.4907		- 58,200,000 *	58,200,000	
Total For Buys				0	58,200,000	58,200,000	0
08/02/2019	S	- 52,404.870	19.0822		1,000,000	969,002	30,998
09/20/2019	S	- 10,354.946	19.3144		200,000	191,470	8,530
11/21/2019	S	- 50,014.004	19.9944		1,000,000	924,793	75,207
Total For Sells				0	2,200,000	2,085,265	114,735

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JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 73 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
Total Aon Global Equity				0	60,400,000	60,285,265	114,735
GRAND TOTAL				0	1,191,426,428	1,188,911,826	2,514,602

CATEGORY 4 - SINGLE TRANSACTION WITH ONE BROKER EXCEEDS 5% OF VALUE

Broker: Direct From Issuer

06/03/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	3,796,767.084	11.0884		- 42,100,000 *	42,100,000	
06/03/2019	Issue: 9SPMTJKB7 - Ahgt Fd US Int Govt Bond Index B	670,309.191	10.4429		- 7,000,000	7,000,000	
06/04/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity B	467,709.982	25.0155		- 11,700,000	11,700,000	
06/04/2019	Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond B	2,196,773.859	15.9780		- 35,100,000 *	35,100,000	
06/04/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	3,715,346.767	19.8366		- 73,700,000 *	73,700,000	
06/04/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi B	6,697,030.231	12.6325		- 84,600,000 *	84,600,000	
06/04/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity B	2,651,610.163	29.8686		- 79,200,000 *	79,200,000	
06/18/2019	Issue: 9SPMTJKB7 - Ahgt Fd US Int Govt Bond Index B	43,058.925	1.0451		- 450,000	450,000	
06/19/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	162,873.361	11.0515		- 1,800,000	1,800,000	
06/19/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	135,289.689	19.9572		- 2,700,000	2,700,000	

See Independent Auditor's Report

Attachment A 12/14

00019004
25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 74 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
06/28/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 2,046,191.104	12.7994		26,190,000 *	25,848,438	341,562
06/28/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 1,033,982.926	30.9580		32,010,000 *	30,883,668	1,126,332
06/28/2019	Issue: 9SPMTJLB6 - Aon Global Equity B	3,147,531.111	18.4907		- 58,200,000 *	58,200,000	
08/02/2019	Issue: 9SPMTJK50 - Ahgt Fd US Long Govt Bond Index B	153,963.532	11.3663		- 1,750,000	1,750,000	
08/02/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 18,904.385	26.4489		500,000	472,903	27,097
08/02/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr B	152,809.240	20.9411		- 3,200,000	3,200,000	
08/02/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 115,577.612	12.9783		1,500,000	1,460,030	39,970
08/02/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 131,857.281	32.2318		4,250,000	3,938,398	311,602
08/02/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 52,404.870	19.0822		1,000,000	969,002	30,998
09/20/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 1,124.197	26.6857		30,000	28,122	1,878
09/20/2019	Issue: 9SPMTJK76 - Ahgt Fund High Yield Bond S	- 132,781.534	16.5686		2,200,000	2,121,580	78,420
09/20/2019	Issue: 9SPMTJK84 - Ahgt Fd US Long Fix Inc Act Cr S	- 186,568.687	21.4398		4,000,000	3,709,521	290,479
09/20/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 15,115.916	13.2311		200,000	190,951	9,049
09/20/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 4,556.238	32.9219		150,000	136,089	13,911

See Independent Auditor's Report

Attachment A 13/14

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25- -12-D -66 -009-04
0403 -11-03320-04



JCI BATTERY GROUP PENSION
ACCOUNT 001051004380

Page 75 of 75
Period from February 1, 2019 to December 31, 2019

FORM 5500 - REPORTABLE TRANSACTION SCHEDULE (continued)

DATE	BOUGHT/ SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
09/20/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 10,354.946	19.3144		200,000	191,470	8,530
11/21/2019	Issue: 9SPMTJK68 - Ahgt Fd US Small Cap Pass Equity S	- 3,667.430	27.2671		100,000	91,743	8,257
11/21/2019	Issue: 9SPMTJK92 - Ahgt Fd Non-US Eq Index Fd Acwi S	- 73,157.369	13.6692		1,000,000	924,158	75,842
11/21/2019	Issue: 9SPMTJKA9 - Ahgt Fund US Passive Equity S	- 26,358.733	34.1443		900,000	787,300	112,700
11/21/2019	Issue: 9SPMTJLB6 - Aon Global Equity S	- 50,014.004	19.9944		1,000,000	924,793	75,207
Total For Direct From Issuer				0	476,730,000	474,178,166	2,551,834
GRAND TOTAL				0	476,730,000	474,178,166	2,551,834

See Independent Auditor's Report

Attachment A 14/14

**SCHEDULE SB
(Form 5500)**Department of the Treasury
Internal Revenue ServiceDepartment 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

2019**This Form is Open to Public
Inspection**

For calendar plan year 2019 or fiscal plan year beginning 01/01/2019 and ending 12/31/2019

▶ **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 JOHNSON CTRLS PLAN BATTERY DIV. HRLY EMPLOYEES	B Three-digit plan number (PN) ▶ 016
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF CLARIOS, LLC	D Employer Identification Number (EIN) 39-1684871
E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B	F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500

Part I Basic Information

1 Enter the valuation date: Month <u>01</u> Day <u>01</u> Year <u>2019</u>			
2 Assets:			
a Market value.....	2a	347,482,236	
b Actuarial value	2b	347,482,236	
3 Funding target/participant count breakdown	(1) Number of participants	(2) Vested Funding Target	(3) Total Funding Target
a For retired participants and beneficiaries receiving payment	1,718	132,707,658	132,707,658
b For terminated vested participants	524	21,170,281	21,170,281
c For active participants	1,896	136,702,049	148,311,472
d Total	4,138	290,579,988	302,189,411
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	5.58%	
6 Target normal cost	6	10,523,846	

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	<i>CLD</i> Cheryl L. Davis	10/05/2020
Signature of actuary		Date
CHERYL L. DAVIS		2004707
Type or print name of actuary		Most recent enrollment number
AON CONSULTING, INC.		847-295-5000
Firm name		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 ☐**For Paperwork Reduction Act Notice, see the Instructions for Form 5500 or 5500-SF.****Schedule SB (Form 5500) 2019
v. 190130**

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).....	0	55,935,975
8 Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	0	0
9 Amount remaining (line 7 minus line 8).....	0	55,935,975
10 Interest on line 9 using prior year's actual return of <u>-4.24%</u>	0	-2,371,685
11 Prior year's excess contributions to be added to prefunding balance:		
a Present value of excess contributions (line 38a from prior year).....		32,523,082
b(1) Interest on the excess, if any, of line 38a over line 38b from prior year Schedule SB, using prior year's effective interest rate of <u>5.74%</u>		1,866,825
b(2) Interest on line 38b from prior year Schedule SB, using prior year's actual return.....		0
c Total available at beginning of current plan year to add to prefunding balance.....		34,389,907
d Portion of (c) to be added to prefunding balance.....		34,389,907
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).....	0	87,954,197

Part III Funding Percentages

14 Funding target attainment percentage	14	85.88%
15 Adjusted funding target attainment percentage.....	15	114.98%
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	105.21%
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? ☐ Yes ☒ No**b** If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? ☐ 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

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

21 Discount rate:				
a Segment rates:	1st segment: 3.74 %	2nd segment: 5.35 %	3rd segment: 6.11 %	☐ 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	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	10,523,846	
b Excess assets, if applicable, but not greater than line 31a	31b	0	
32 Amortization installments:	Outstanding Balance		Installment
a Net shortfall amortization installment	42,661,372		6,931,952
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	17,455,798	
	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement	0	17,455,798	17,455,798
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

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

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)
55.5	3.00%	1.0000	1.67
56.5	5.00%	0.9700	2.74
57.5	5.00%	0.9215	2.65
58.5	3.00%	0.8754	1.54
59.5	6.00%	0.8492	3.03
60.5	6.00%	0.7982	2.90
61.5	20.00%	0.7503	9.23
62.5	50.00%	0.6003	18.76
63.5	25.00%	0.3001	4.76
64.5	15.00%	0.2251	2.18
65.5	50.00%	0.1913	6.27
66.5	50.00%	0.0957	3.18
67.5	40.00%	0.0478	1.29
68.5	40.00%	0.0287	0.79
69.5	40.00%	0.0172	0.48
70	100.00%	0.0103	0.72
Weighted Average			62.19

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Schedule SB, Part V—Summary of Plan Provisions

Effective Date December 29, 1943. Amended and restated January 1, 2016.

Status of Plan See chart below.

Group Name	Closure Date	Benefit Status
Florence	Closed 3/3/2013	Frozen
Fort Wayne	Closed 1/13/2014	Accruing
Geneva	Closed 1/1/2012	Accruing
Middletown		
DAP (Union 831)	Closed 6/30/2014	Accruing
DC (Union 006)	Closed 1/1/2019	Accruing
Portland	Closed 2/16/2013	Accruing
St. Joseph	Closed 7/16/2012	Accruing
Tampa	Closed 5/6/2013	Accruing
Toledo	Closed 4/26/2018	Accruing
Winston Salem	Closed 8/8/2013	Accruing

Participation Hourly-paid employees.

Normal Retirement
Eligibility

Age 65 and five years of vesting service.

Benefit

1% of average monthly compensation times benefit service. The normal retirement benefit is subject to minimums ranging from \$28.00 times benefit service to \$48.00 times benefit service depending on employee group. Minimum benefit eligibility is age 62 and 10 years of vesting service (or age 65 and five years of vesting service) for Geneva employees and age 55 and 10 years of vesting service (or age 65 and five years of vesting service) for all other employees.

Early Retirement
Eligibility

Age 55 and 10 years of vesting service.

Benefit

Accrued benefit reduced 5% per year from age 65 (age 62 if 10 years of vesting service).

Deferred Vested
Eligibility

Five years of vesting service.

Benefit

Accrued benefit reduced 5% per year from age 65.

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Supplemental Allowance	
Eligibility	Participants who retire at age 62 with 10 years of vesting service at Portland, Tampa, Toledo, St. Joseph, Winston-Salem, and Florence locations.
Benefit	\$10 for Toledo, St. Joseph, Florence, and Geneva employees, \$11 for Tampa employees, \$12 for Winston-Salem employees, and \$13 for Portland employees for each year of service payable monthly until age 65.
Total and Permanent Disability Retirement	
Eligibility	Age 55 and 30 years of benefit service (UAW groups only).
Benefit	Accrued benefit payable immediately.
Preretirement Surviving Spouse Benefit	
Eligibility	Five years of service.
Benefit	
Early Retirement Eligible	50% (55% for UAW groups if death after age 55 with 10 years of vesting service) 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	50% of 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.
Other Benefits	
Eligibility	Payable upon death of retiree receiving normal or early retirement benefits.
Benefit	\$1,500 to \$6,000 lump sum, depending on location.
Form of Payment	
Normal	Single life annuity payable monthly, but for married participants, unless elected otherwise, there is in effect an automatic 50% joint and survivor option on an actuarially equivalent basis.
Optional	100%, 75%, or 50% joint and survivor annuity, single life annuity, or lump sum.

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Optional Payment Form

Conversion Interest Rate

Non-Lump Sums

6.00%.

Lump Sums

417(e) Interest Rate (August lookback).

Conversion Mortality

Non-Lump Sums

1971 Group Annuity Mortality Table weighted 70% male
30% female.

Lump Sums

417(e) Mortality Table.

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.

Definitions

Vesting Service

All service after date of hire.

Benefit Service

Service while a participant. Benefit service froze on December 31, 2018 for participants at the Florence location.

Compensation

Earnings considered "wages" for federal income tax withholding purposes excluding LTD benefits, reimbursed expenses, and pension contributions. Compensation froze on December 31, 2018 for participants at the Florence location.

Average Monthly Compensation

Compensation for the highest five plan years out of the last 10, divided by 60.

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Plan Changes Since the January 1, 2018 Valuation

The January 1, 2019 funding valuation reflects the following plan changes:

- An increase in the annual pay limit under IRC section 401(a)(17) from \$275,000 in 2018 to \$280,000 in 2019.
- An increase in the annual maximum benefit limit under IRC section 415 from \$220,000 in 2018 to \$225,000 in 2018.
- An update to the mortality rates for determining minimum lump sum payments under IRC section 417(e)(3) to the applicable rates for the current plan year.
- For participants at the Toledo location:
 - The plan was closed to employees hired, rehired, or transferred in on or after April 26, 2018.
 - The minimum benefit multiplier was increased from \$37.50 to \$47.50 as of April 26, 2018 for Tier 2 employees (employees hired after July 1, 2011).
 - The supplemental allowance multiplier was increased from \$5 to \$10 as of April 26, 2018 for Tier 2 employees (employees hired after July 1, 2011).
- For participants at the Florence location:
 - The plan froze on December 31, 2018 and participants no longer accrue benefits under the plan.
- For participants at the Middletown DC (Union 006):
 - Plan closed to new participants on January 1, 2019.

Plan Changes Since the January 1, 2017 Valuation

The January 1, 2018 funding valuation reflected the following plan changes:

- An increase in the annual pay limit under IRC section 401(a)(17) from \$270,000 in 2017 to \$275,000 in 2018.
- An increase in the annual maximum benefit limit under IRC section 415 from \$215,000 in 2017 to \$220,000 in 2018.
- An update to the mortality rates for determining minimum lump sum payments under IRC section 417(e)(3) to the applicable rates for the current plan year.
- For participants at the Middletown locations:
 - The minimum benefit multiplier was increased from \$32.00 to \$33.00 effective July 1, 2012 and to \$34.00 effective July 1, 2013.

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Plan Changes Since the January 1, 2016 Valuation

The January 1, 2017 funding valuation reflected the following plan changes:

- An increase in the annual pay limit under IRC section 401(a)(17) from \$265,000 in 2016 to \$270,000 in 2017.
- An increase in the annual maximum benefit limit under IRC section 415 from \$210,000 in 2016 to \$215,000 in 2017.
- An update to the mortality rates for determining minimum lump sum payments under IRC section 417(e)(3) to the applicable rates for the current plan year.
- For participants at the Toledo location:
 - The minimum benefit multiplier was increased from \$46.50 to \$47.50 as of May 1, 2017 for Tier 1 employees (employees hired on or before July 1, 2011).
 - The minimum benefit multiplier was increased from \$36.50 to \$37.50 as of May 1, 2017 for Tier 2 employees (employees hired after July 1, 2011).

Plan Changes Since the January 1, 2015 Valuation

The January 1, 2016 funding valuation reflected the following plan change:

- An update to the mortality rates for determining minimum lump sum payments under IRC section 417(e)(3) to the applicable rates for the current plan year.

Plan Changes Since the January 1, 2014 Valuation

The January 1, 2015 funding valuation reflected the following plan changes:

- An increase in the annual pay limit under IRC section 401(a)(17) from \$260,000 in 2014 to \$265,000 in 2015.
- An update to the mortality rates for determining minimum lump sum payments under IRC section 417(e)(3) to the applicable rates for the current plan year.
- For participants at the Fort Wayne location:
 - Plan closed to employees hired on or after January 13, 2014.
- For participants at the Middletown location, DAP Union 831:
 - Plan closed to employees hired, rehired, or transferred in on or after June 30, 2014.
- For participants at the Toledo location:
 - The minimum benefit multiplier was increased from \$45.50 to \$46.50 as of May 1, 2015 for Tier 1 employees (employees hired on or before July 1, 2011).
 - The minimum benefit multiplier was increased from \$35.50 to \$36.50 as of May 1, 2015 for Tier 2 employees (employees hired after July 1, 2011).

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 PENSION PLAN BATTERY DIVISION HOURLY EMPLOYEES
SCHEDULE H, LINE 4i - SCHEDULE OF ASSETS (HELD AT END OF YEAR)
PLAN #016, EIN: 39-1684871
DECEMBER 31, 2019

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost	Current Value
*	Aon Hewitt	Cash Fund - Money Market	\$ 5,416,992	\$ 5,416,992
*	Aon Hewitt	AHGT US Passive Equity	43,454,546	51,739,163
*	Aon Hewitt	AHGT US Int Govt Bond Index	7,750,000	7,877,584
*	Aon Hewitt	AHGT US Long Govt Bond Index	45,650,000	47,499,526
*	Aon Hewitt	AHGT Small Cap Passive Equity	11,107,232	12,714,800
*	Aon Hewitt	AHGT High Yield Bond	32,978,420	34,970,296
*	Aon Hewitt	AHGT Long Fixed Income	75,890,479	83,863,574
*	Aon Hewitt	AHGT Non-US Equity Index	56,176,423	63,363,485
*	Aon Hewitt	AHGT Global Equity	56,114,735	62,901,542
	Total investments		<u>\$ 334,538,827</u>	<u>\$ 370,346,962</u>

* Represents a party-in-interest

Schedule SB Attachment (Form 5500)—2019 Plan Year
Johnson Controls Pension Plan Battery Division Hourly Employees
EIN: 39-1684871 PN: 016

Schedule SB, line 32—Schedule of Amortization Bases

Type of Base	Present Value of Installment	Date Established	Years Remaining	Amortization Installment
Shortfall	\$ 42,661,372	January 1, 2019	7	\$ 6,931,952