

ROELL STEPHEN A

Form 4

November 16, 2009

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
ROELL STEPHEN A

(Last) (First) (Middle)

5757 N. GREEN BAY
AVENUE, P.O. BOX 591

(Street)

MILWAUKEE, WI 53201-0591

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

JOHNSON CONTROLS INC [JCI]

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

07/17/2007

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)

Chief Executive Officer

6. Individual or Joint/Group Filing(Check
Applicable Line)

☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D)	Price	
Common Stock	07/17/2007		A	204 ⁽¹⁾	A	\$ 41.7269 ⁽²⁾	721,848 ⁽³⁾ ⁽⁴⁾ D
Common Stock	07/24/2007		A	117 ⁽¹⁾	A	\$ 38.5733 ⁽²⁾	721,965 ⁽³⁾ ⁽⁴⁾ D
Common Stock	08/15/2007		A	207 ⁽¹⁾	A	\$ 36.7074 ⁽²⁾	722,172 ⁽³⁾ ⁽⁴⁾ D
Common Stock	09/04/2007		A	108 ⁽¹⁾	A	\$ 37.9366 ⁽²⁾	722,280 ⁽³⁾ ⁽⁴⁾ D

Edgar Filing: ROELL STEPHEN A - Form 4

(2)

Common Stock	11/30/2007	A	93	A	\$ 39.1047	722,373 ⁽³⁾ <u>(4)</u>	D	
Common Stock	02/01/2008	A	126	A	\$ 35.5116	722,499 ⁽³⁾ <u>(4)</u>	D	
Common Stock	02/20/2008	A	35	A	\$ 33.97	722,534 ⁽³⁾ <u>(4)</u>	D	
Common Stock	02/06/2009	A	308	A	\$ 14.2448	722,842 ⁽³⁾ <u>(4)</u>	D	
Common Stock	03/03/2009	S	327	D	\$ 10.6728	722,515 ⁽³⁾ <u>(4)</u>	D	
Common Stock	03/19/2009	A	203	A	\$ 11.53	722,718 ⁽³⁾ <u>(4)</u>	D	
Common Stock						33,201.48 ⁽⁵⁾	I	By 401(k) Plan Trust

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Underlying Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Phantom Stock Units / Restricted Stock Grant	(6)					11/02/2011(7)	11/02/2013(7)	Common Stock
Phantom Stock Units/Retirement Restoration Plan	(6)					(8)	(8)	Common Stock
Phantom Stock Units / Restricted	(6)					(9)	(9)	Common Stock

Stock Grant

Employee Stock Option (Right to Buy)	\$ 17.5167	11/19/2005	11/19/2013	Common Stock
Employee Stock Option (Right to Buy)	\$ 20.5633	11/17/2006	11/17/2014	Common Stock
Employee Stock Option (Right to Buy)	\$ 22.5617	11/16/2007	11/16/2015	Common Stock
Employee Stock Option (Right to Buy)	\$ 23.965	10/02/2008	10/02/2016	Common Stock
Employee Stock Option (Right to Buy)	\$ 40.21	10/01/2009 ⁽¹⁰⁾	10/01/2017	Common Stock
Employee Stock Option (Right to Buy)	\$ 28.79	10/01/2010 ⁽¹⁰⁾	10/01/2018	Common Stock
Employee Stock Option (Right to Buy)	\$ 24.87	10/01/2011 ⁽¹⁰⁾	10/01/2019	Common Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ROELL STEPHEN A 5757 N. GREEN BAY AVENUE P.O. BOX 591 MILWAUKEE, WI 53201-0591	X		Chief Executive Officer	

Signatures

Angela M. Blair, Attorney-In-Fact for Stephen A. Roell 11/16/2009

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) The number of shares acquired has been adjusted to reflect the 3-1 stock split on October 2, 2007.
- (2) The price per share at which the shares were acquired has been adjusted to reflect the 3-1 stock split on October 2, 2007.
- (3) Includes shares of restricted stock which vest as follows: 60,000 shares on 1/3/2010, 7,500 shares on 8/1/2011 and 75,000 shares on 11/1/2011.

Edgar Filing: ROELL STEPHEN A - Form 4

- (4) The transactions were effected in a discretionary brokerage account over which Mr. Roell had no investment control.
- The number of underlying securities is based on the stock fund balance on November 13, 2009. The actual number of shares issuable upon the distribution date is not determinable since the stock fund is a unitized account consisting of 96% company stock and 4% money market fund. The stock account balance reflected in this report is based on a November 13, 2009, stock fund price of \$27.13 per share.
- (5) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- The phantom stock balance consists of an award of 113,000 restricted stock units granted on November 2, 2009, which vest as follows:
- (6) 56,500 on November 2, 2011, and 56,500 on November 2, 2013. The phantom stock units representing the award, and the dividends which accrue during the restrictive period, are to be settled 100% in cash, pending vesting.
- (7) The phantom stock units were accrued under the Johnson Controls Retirement Restoration Plan. The units are payable in cash following the reporting person's retirement from the issuer, and may be transferred by the reporting person into an alternative investment account.
- The phantom stock units representing dividends which relate to restricted stock awards that were not deferred will vest when the non-deferred restricted shares vest, and will be paid in cash to the reporting person. Phantom stock units representing dividends which relate to vested, deferred restricted stock awards are payable in cash following the reporting person's termination from the issuer and may be transferred into an alternative investment account. Vesting continues when the reporting person retires from the issuer.
- (8) Fifty percent of the options vest after two years and the remaining 50% vests after three years.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.