

KENNEDY JOHN P  
Form 4  
November 01, 2006

**FORM 4**

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**KENNEDY JOHN P**

(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)  
10/31/2006

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)  
Exec VP & Pres Controls Gp

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	10/31/2006		M		60,000	A	\$ 28.4219
Common Stock	10/31/2006		M		50,000	A	\$ 40.115
Common Stock	10/31/2006		M		74,000	A	\$ 40.2975
Common Stock	10/31/2006		S		184,000	D	\$ 81.5477
Common Stock					9,381.878	(2) I	

By  
401(k)  
Plan

Trust

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

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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 Amount of Underlying Security (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount Number of Shares
Phantom Stock Units/ Restricted Stock Grant	(3)					(3)	(3)	Common Stock	46,8
Stock Option	\$ 28.4219	10/31/2006		M	60,000	11/15/2002	11/15/2010	Common Stock	60
Stock Option	\$ 40.115	10/31/2006		M	50,000	11/14/2003	11/14/2011	Common Stock	50
Stock Option	\$ 40.2975	10/31/2006		M	74,000	11/20/2004	11/20/2012	Common Stock	74
Stock Option	\$ 52.55					11/19/2005	11/19/2013	Common Stock	80
Stock Option	\$ 61.69					11/17/2006 <sup>(5)</sup>	11/17/2014	Common Stock	100
Stock Option	\$ 67.685					11/16/2007 <sup>(5)</sup>	11/16/2015	Common Stock	100

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other  
Exec VP & Pres Controls Gp

KENNEDY JOHN P  
5757 N. GREEN BAY AVENUE  
P.O. BOX 591  
MILWAUKEE, WI 53201-0591

## Signatures

Arlene D. Gumm Attorney-In-Fact for John P.  
Kennedy

11/01/2006

\_\_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) Shares represent an award of a restricted stock grant. Fifty percent vests on 1/2/2008 and the remaining 50% on 1/2/2010.  
The number of underlying securities is based on the stock fund balance on October 31, 2006. 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 October 31, 2006, stock fund price of \$81.78 per share.
  - (2) Each share of phantom stock is the economic equivalent of one share of Johnson Controls common stock. The restricted stock units were accrued under the Johnson Controls Restricted Stock Plan. The units represent the reinvestment of dividends and are to be settled 100% in cash upon the vesting of the reporting person's Restricted Stock.
  - (3) Includes 674.962 phantom stock units acquired through the reinvestment of dividends on March 31, June 30 and September 29, 2006, at prices ranging from \$75.93 to \$82.22 per phantom unit.
  - (4) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date, with the exception of retirement, when unvested options become 100% vested.

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.