

JOHNSON CONTROLS INC  
Form 4  
November 05, 2007

**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 \*  
Molinaroli Alex A

(Last) (First) (Middle)  
5757 N. GREEN BAY AVENUE, P.O. BOX 591  
(Street)

MILWAUKEE, WI 53201

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
JOHNSON CONTROLS INC [JCI]

3. Date of Earliest Transaction (Month/Day/Year)  
11/01/2007

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)  
Vice President

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------|
|                                 |                                      |                                                    | Code                           | V                                                                 | Amount (A) or (D) Price                                                                       |                                                          |                                            |
| Common Stock                    | 11/01/2007                           |                                                    | A                              |                                                                   | 19,500 (1) \$ 42.07                                                                           | D                                                        |                                            |
| Common Stock                    |                                      |                                                    |                                |                                                                   | 39,464.166 (3)                                                                                | 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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**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 |
| Phantom Stock Units - Annual Incentive Plan | (4)                                                    |                                      |                                                    |                                |                                                                                         | (5)                                                      | (5)                                                         | Common Stock | 9,200  |
| Phantom Stock Units - LTIP Plan             | (4)                                                    |                                      |                                                    |                                |                                                                                         | (7)                                                      | (7)                                                         | Common Stock | 2,600  |
| Phantom Stock Units /Excess Benefits Plan   | (4)                                                    |                                      |                                                    |                                |                                                                                         | (9)                                                      | (9)                                                         | Common Stock | 820    |
| Phantom Stock Units - Restricted Stock Plan | (11)                                                   | 11/01/2007                           |                                                    | A                              | 10,500<br>(12)                                                                          | (11)                                                     | (11)                                                        | Common Stock | 10,500 |
| Stock Option                                | \$ 17.5167<br>(15)                                     |                                      |                                                    |                                |                                                                                         | 11/19/2005                                               | 11/19/2013                                                  | Common Stock | 280    |
| Stock Option                                | \$ 20.5633<br>(16)                                     |                                      |                                                    |                                |                                                                                         | 11/17/2006 <sup>(14)</sup>                               | 11/17/2014                                                  | Common Stock | 840    |
| Stock Option                                | \$ 22.5617<br>(17)                                     |                                      |                                                    |                                |                                                                                         | 11/16/2007 <sup>(14)</sup>                               | 11/16/2015                                                  | Common Stock | 120    |
| Stock Option                                | \$ 23.965<br>(18)                                      |                                      |                                                    |                                |                                                                                         | 10/02/2008 <sup>(14)</sup>                               | 10/02/2016                                                  | Common Stock | 900    |
| Stock Option                                | \$ 40.21<br>(19)                                       |                                      |                                                    |                                |                                                                                         | 10/01/2009 <sup>(14)</sup>                               | 10/01/2017                                                  | Common Stock | 900    |

## Reporting Owners

| Reporting Owner Name / Address                                                       | Relationships |           |                   |       |
|--------------------------------------------------------------------------------------|---------------|-----------|-------------------|-------|
|                                                                                      | Director      | 10% Owner | Officer           | Other |
| Molinaroli Alex A<br>5757 N. GREEN BAY AVENUE<br>P.O. BOX 591<br>MILWAUKEE, WI 53201 |               |           | Vice<br>President |       |

## Signatures

Arlene D. Gumm, Attorney-in-Fact for Alex A. Molinaroli 11/05/2007

\_\_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) Award of restricted stock with 50% vesting in two years and 50% vesting after four years.
- (2) On October 2, 2007, Johnson Controls, Inc., had a 3-for-1 stock split, resulting in an additional 30,000 restricted shares added to the reporting person's account. 15,000 shares are restricted until 1/2/08, 15,000 shares, 1/3/08 and 15,000 shares, 1/3/2010.  
The number of underlying securities is based on the stock fund balance on October 31, 2007. 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.
- (3) The stock account balance reflected in this report is based on a October 31, 2007, stock fund price of \$43.72 per share. This also includes 26,297.9246 shares acquired as the result of the 3-for-1 stock split of Johnson Controls common stock on October 2, 2007.  
Each share of phantom stock is the economic equivalent of one share of Johnson Controls common stock. Shares of phantom stock are payable in cash following the reporting person's termination of employment with the company and may be transferred by the reporting person into an alternative investment account at any time.
- (4) The phantom stock units were accrued under the Johnson Controls Annual Incentive Plan and are to be settled 100% in cash upon the reporting person's termination of employment with the company.
- (5) Includes 25.575 phantom stock units acquired through reinvestment of dividends on October 2, 2007, at a price of 39.8667 per phantom unit. On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 6,178.994 additional phantom stock units.
- (6) The phantom stock units were accrued under the Johnson Controls Long-Term Incentive Plan and are to be settled 100% in cash upon the reporting person's termination of employment with the company.
- (7) Includes 7.317 phantom stock units acquired through reinvestment of dividends on October 2, 2007, at a price of 39.8667 per phantom unit. On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 1,767.942 additional phantom stock units.
- (8) The phantom stock units were accrued under the Johnson Controls Equalization 401(k) Benefit Plan and are to be settled 100% in cash after the end of the calendar year in the year of the reporting person's termination of employment with the company.
- (9) Includes 2.265 phantom stock units acquired through reinvestment of dividends on October 2, 2007, at a price of 39.8667 per phantom unit. On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 547.056 additional phantom stock units.
- (10) 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.
- (11) Award of restricted stock with 50% vesting in two years and 50% vesting after four years. Reporting person elected to defer this portion of the restricted stock grant.
- (12)
- (13)

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Includes 128,217 phantom stock units acquired through reinvestment of dividends on October 2, 2007, at a price of 39.8667 per phantom unit. On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 979,626 additional phantom stock units.

- (14) Fifty percent of the options vest after two years and the remaining 50% vests after three years.
- (15) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 18,700 additional options. The option price changed from \$52.55 to \$17.5167.
- (16) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 56,000 additional options. The option price changed from \$61.69 to \$20.5633.
- (17) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 80,000 additional options. The option price changed from \$67.695 to \$22.5617.
- (18) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 60,000 additional options. The option price changed from \$71.895 to \$23.965.
- (19) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 60,000 additional options. The option price changed from \$120.63 to \$40.21.

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

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