JOHNSON CONTROLS INC

Form 4 January 25, 2008

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

Check this box if no longer subject to Section 16. Form 4 or Form 5

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

obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

ARRETT ROBERT L Symbol JOHNSON CONTROLS INC [JCI] (Last) (First) (Middle) (Month/Day/Year) (Month/Day/Year) (Street) (City) (State) (City) (City) (State) (City) (State) (City) (City) (State) (City) (City) (City) (State) (City) (Cit											
(Check all applicable) (Month/Day/Year) (Month/Day/Year) (Street) (Street) (Street) (Street) (A. If Amendment, Date Original Filed(Month/Day/Year) (City) (City) (State) (Zip) (City) (State) (Zip) (City) (State) (Zip) (Cote Disposed of (D) Beneficially (D) or Beneficia	1. Name and Address of Reporting Person * BARNETT ROBERT L			Symbol				Issuer			
(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficial (Month/Day/Year) (Instr. 3) (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (Instr. 3) (Amount (D) Price) (Instr. 3) (Amount (D) Price) (Instr. 3) (Instr. 4) (Instr. 4) (Instr. 3) (Instr. 3) (Instr. 3) (Code V Amount (D) Price) (Instr. 3) (Instr. 4) (Inst											
Filed(Month/Day/Year) MILWAUKEE, WI 53201-0591 Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned Title of 2. Transaction Date (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership Following (Instr. 4) Code V Amount (D) Price Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (A) or Securities Form: Direct Indirect (Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Code V Amount (D) Price Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (A) or Securities Form: Direct Indirect (Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Code V Amount (D) Price Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (A) or Securities Form: Direct Indirect (I) Ownership Following (Instr. 4) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (A) or Securities Form: Direct Indirect (I) Ownership Following (Instr. 4) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (A) or Securities Form: Direct Indirect (I) Ownership Following (Instr. 4) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially (D) or Beneficial (Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially (D) or Beneficially (D) or Beneficial (Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially (D) or Beneficial (Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially (D) or Beneficial (Indirect (I) Ownership (Instr. 4) (Instr. 4) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially (D) or Beneficial (Instr. 4) Table I - Non-Derivative Securities Acquired,	, ,			(Month/D	ay/Year)	ansaction		Officer (giv	ve title Ot		
(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Month/Day/Year) (Month/Day/Year) (Instr. 3) (Instr. 3, 4 and 5) (Instr. 3, 4 and 5) (Instr. 4) (Instr. 4) (Instr. 4) (A) (A) (Instr. 3 and 4) (Instr. 3 and 4) (Code V Amount (D) Price (Instr. 3 and 4) (Common Stock) (Instr. 3 and 4) (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (A) (D) or (Instr. 4) (Instr. 4) (A) (Instr. 3 and 4) (Code V Amount (D) Price (Instr. 3 and 4) (Code V Amount (D) Price (Instr. 3 and 4) (Code V Amount (D) Price (Instr. 4) (Instr. 4)		` ′		, e				Applicable Line) _X_ Form filed by One Reporting Person			
2. Transaction Date (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Instr. 3) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) (Instr. 3, 4 and 5) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 3) (Code V Amount (D) Price (D) Price (D) Price (D) Price (D) (D) (Instr. 3) (Instr. 4) (Instr.	MILWAUK	EE, WI 53201-05	591					•	Wiore than One P	reporting	
Security (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Instr. 3) Execution Date, if any (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (Instr. 4) Ownership Following (Instr. 4) (Instr. 4) (Instr. 4) Execution Date, if any (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (Instr. 4) (Instr. 4) (Instr. 4) Ownership Following (Instr. 3 and 4) (Instr. 3 and 4) Execution Date, if any (Code Disposed of (D) Beneficially (D) or Beneficial Ownership (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) Ownership (Instr. 3 and 4) (Instr. 3 and 4) (Instr. 3 and 4) Execution Date, if any (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 3 and 4) (Instr. 3	(City)	(State)	(Zip)	Table	e I - Non-D	erivative S	Securities Ac	quired, Disposed	of, or Beneficia	ally Owned	
By Trust with Reporting Person as	decurity (Month/Day/Year) Execution (Month/Day/Year) any		n Date, if	Transactic Code (Instr. 8)	onAcquired Disposed (Instr. 3,	(A) or of (D) 4 and 5) (A) or	Securities Beneficially Owned Following Reported Transaction(s)	Form: Direct (D) or Indirect (I)	Indirect Beneficial Ownership		
	Common Stock				Code	Timount	(b) Thee		I	with Reporting Person as	

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Edgar Filing: JOHNSON CONTROLS INC - Form 4

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 orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amour Underlying Securit (Instr. 3 and 4)	
				Code V	(A) (D	Date Exercisable	Expiration Date	Title	Amo Num Share
Phantom Stock Units / Directors' Deferred Compensation Plan	(3)	01/23/2008		A	3,797.846	<u>(4)</u>	<u>(4)</u>	Common Stock	3,7
Phantom Stock Units / Directors' Retirement Plan	(3)					(8)	<u>(8)</u>	Common Stock	35,2

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

BARNETT ROBERT L

X

5757 N. GREEN BAY AVE. P.O. BOX 591 MILWAUKEE, WI 53201-0591

Signatures

Arlene D. Gumm Attorney-In-Fact for Robert L.

Barnett

01/25/2008

**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) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 7,817.98 additional shares of common stock.
- (2) Includes 75.44 shares acquired through the reinvestment of dividends on October 2, 2007, at a price of \$40.2122 per share and January 3, 2008, at a price of \$35.1901 per share.
- (3) The phantom stock units convert to the common stock's cash value on a one-for-one basis.
- (4) The Phantom stock units were accrued under the Johnson Controls Directors' Deferred Compensation Plan and are to be settled 100% in cash. The reporting person has the right to transfer the value of the phantom stock account into an alternative investment account within

Reporting Owners 2

Edgar Filing: JOHNSON CONTROLS INC - Form 4

the plan or to move out of the plan.

- On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 116,161.34 additional units of phantom stock.
- (6) Includes 1127.757 units acquired through the reinvestment of dividends on October 2, 2007, at a price of \$39.8667 and January 3, 2008, at a price of \$35.02 per unit.
- Pursuant to a domestic relations order and Rule 16a-1(a)(2), for purposes of Section 16 of the Securities Exchange Act of 1934, the reporting person disclaims beneficial ownership of 76,733.764 units of the phantom stock in the Deferred Compensation Plan account.
- The Phantom stock units were accrued under the Johnson Controls Directors' Retirement Plan and are to be settled 100% in cash. The reporting person has the right to transfer the value of the phantom stock account into an alternative investment account within the plan or to move out of the plan.
- (9) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of additional 23,321.862 units of phantom stock.
- (10) Includes 226.742 units acquired through the reinvestment of dividends on October 2, 2007, at a price of \$39.8667 and January 3, 2008, at a price of \$35.02 per unit.
- (11) Pursuant to a domestic relations order and Rule 16a-1(a)(2), for purposes of Section 16 of the Securities Exchange Act of 1934, the reporting person disclaims beneficial ownership of 13,507.031 units of the phantom stock in the Deferred Compensation Plan account.

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.