

JOHNSON CONTROLS INC

Form 4

November 05, 2007

**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  
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2005  
Estimated average  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Augustin Jeffrey G

(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  
\_\_\_\_X\_\_\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)

Vice President

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       |                                         |                                                             | Code V                               | Amount (D) Price                                                           | 251.79 <sup>(1)</sup>                                                                                              | I                                                                    | By 401K<br>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  
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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)**

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| 1. Title of Derivative Security<br>(Instr. 3)  | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed Execution Date, if any<br>(Month/Day/Year) | 4. Transaction Code<br>(Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date<br>(Month/Day/Year) |     | 7. Title and Underlying<br>(Instr. 3 and 4) |                 |              |
|------------------------------------------------|--------------------------------------------------------|-----------------------------------------|-------------------------------------------------------|-----------------------------------|--------------------------------------------------------------------------------------------|-------------------------------------------------------------|-----|---------------------------------------------|-----------------|--------------|
|                                                |                                                        |                                         |                                                       | Code                              | V                                                                                          | (A)                                                         | (D) | Date Exercisable                            | Expiration Date | Title        |
| Phantom Stock Units/Long-Term Incentive Plan   | (2)                                                    |                                         |                                                       |                                   |                                                                                            |                                                             |     | (2)                                         | (2)             | Common Stock |
| Phantom Stock Units/Excess Benefit Plan-Common | (4)                                                    |                                         |                                                       |                                   |                                                                                            |                                                             |     | (4)                                         | (4)             | Common Stock |
| Phantom Stock Units/Restricted Stock Grant     | \$ 0 (6)                                               | 11/01/2007                              |                                                       | A                                 |                                                                                            | 9,000                                                       |     | (6)                                         | (6)             | Common Stock |
| Stock Option                                   | \$ 22.5617                                             |                                         |                                                       |                                   |                                                                                            |                                                             |     | 11/16/2007(9)                               | 11/16/2015      | Common Stock |
| Stock Option                                   | \$ 23.965                                              |                                         |                                                       |                                   |                                                                                            |                                                             |     | 10/02/2008(9)                               | 10/02/2016      | Common Stock |
| Stock Option                                   | \$ 40.21                                               |                                         |                                                       |                                   |                                                                                            |                                                             |     | 10/01/2009(9)                               | 10/01/2017      | Common Stock |

## Reporting Owners

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

## Signatures

Arlene D. Gumm Attorney-in-Fact for Jeffrey G. Augustin  
 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)

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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. 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 167.7862 shares acquired as the result of a 3 for 1 stock split of Johnson Controls common stock on October 2, 2007

- (2) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock. These phantom share units were accrued in the Johnson Controls Long-Term Incentive Plan and are payable in cash following the reporting person's termination of employment with the company. The units may be transferred by the reporting person into an alternative investment account at any time.
- (3) Includes 22.362 phantom stock units acquired through the reinvestment of dividends on October 2, 2007, at a price of \$39.8667 per phantom stock unit. This number also includes 5,403.372 phantom stock units acquired as the result of a 3 for 1 stock split of Johnson Controls common stock on October 2, 2007.
- (4) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock. The phantom stock units were accrued under the Johnson Controls Equalization 401(k) Benefit Plan. 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.
- (5) Includes .531 phantom stock units acquired through the reinvestment of dividends on October 2, 2007, at a price of \$39.8667 per phantom stock unit. This number also includes 128.368 phantom stock units acquired as the result of a 3 for 1 stock split of Johnson Controls common stock on October 2, 2007.
- (6) 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 will be settled 100% in cash following the reporting person's termination of employment with the company, subject to a vesting schedule.
- (7) Includes 42.273 phantom stock units acquired through the reinvestment of dividends on October 2, 2007, at a price of \$39.8667 per phantom stock unit. This number also includes 10,213.642 phantom stock units acquired as the result of a 3 for 1 stock split of Johnson Controls common stock on October 2, 2007.
- (8) Includes the award of 9,000 restricted stock that were granted under the Johnson Controls Restricted Stock Plan on November 1, 2007 at a price of \$42.07 per restricted stock unit.
- (9) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.
- (10) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 48,000 additional option shares of common stock. The original grant price was \$67.685.
- (11) On October 2, 2007, the common stock of Johnson Controls Inc., split 3-for-1, resulting in the reporting person's ownership of 40,000 additional option shares of common stock. The original grant price was \$71.895.
- (12) On October 2, 2007, the common stock of Johnson Controls split 3 for 1, resulting in the reporting person's ownership of 24,000 additional option shares. The original grant price was \$120.63.

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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