

JOHNSON CONTROLS INC

Form 4

January 04, 2008

**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  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**WANDELL KEITH E**

(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)

**01/02/2008**

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)

President and COO

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 Acquired<br>or 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:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       | 11/13/2007                              |                                                             | G                                    | V 384 D                                                             | \$ 0 300,816                                                                                                       | D                                                                       |                                                                   |
| Common<br>Stock                       | 01/02/2008                              |                                                             | F                                    | 18,110 D                                                            | \$ 34.59 282,706                                                                                                   | D                                                                       |                                                                   |
| Common<br>Stock                       | 01/03/2008                              |                                                             | F                                    | 28,398 D                                                            | \$ 35.02 254,308 <sup>(1)</sup>                                                                                    | D                                                                       |                                                                   |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                     | 439.346 <sup>(2)</sup>                                                                                             | I                                                                       | By 401(k)<br>Plan Trust                                           |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                     | 1,056                                                                                                              | I                                                                       | By<br>Custodian<br>For Child                                      |

# Edgar Filing: JOHNSON CONTROLS INC - Form 4

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<br>Derivative Security<br>(Instr. 3)        | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount<br>Underlying Security<br>(Instr. 3 and 4) |
|---------------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|----------------------------------------------------------------|
|                                                         |                                                                    |                                         |                                                             | Code                                 | V (A) (D)                                                                                                          | Date Exercisable<br>Expiration Date                            | Title<br>Amount<br>Number<br>Shares                            |
| Phantom Stock<br>Units/Excess<br>Benefit<br>Plan-Common | (3)                                                                |                                         |                                                             |                                      |                                                                                                                    | (4) (4)                                                        | Common<br>Stock 36                                             |
| Phantom Stock<br>Units/LTPP                             | (3)                                                                |                                         |                                                             |                                      |                                                                                                                    | (6) (6)                                                        | Common<br>Stock 33                                             |
| Phantom Stock<br>Units/Restricted<br>Stock Grant        | (8)                                                                |                                         |                                                             |                                      |                                                                                                                    | (8) (8)                                                        | Common<br>Stock 7                                              |
| Stock Option                                            | \$ 17.5167                                                         |                                         |                                                             |                                      |                                                                                                                    | 11/19/2005 11/19/2013                                          | Common<br>Stock 4                                              |
| Stock Option                                            | \$ 20.5633                                                         |                                         |                                                             |                                      |                                                                                                                    | 11/17/2006 11/17/2014                                          | Common<br>Stock 3                                              |
| Stock Option                                            | \$ 22.5617                                                         |                                         |                                                             |                                      |                                                                                                                    | 11/16/2007 <sup>(10)</sup> 11/16/2015                          | Common<br>Stock 3                                              |
| Stock Option                                            | \$ 23.965                                                          |                                         |                                                             |                                      |                                                                                                                    | 10/02/2008 <sup>(10)</sup> 10/02/2016                          | Common<br>Stock 2                                              |
| Stock Option                                            | \$ 40.21                                                           |                                         |                                                             |                                      |                                                                                                                    | 10/01/2009 <sup>(10)</sup> 10/01/2017                          | Common<br>Stock 1                                              |

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Reporting Owners

WANDELL KEITH E  
5757 N. GREEN BAY AVENUE  
P.O. BOX 591  
MILWAUKEE, WI 53201-0591

President and COO

## Signatures

Arlene D. Gumm Attorney-In-Fact for Keith E.  
Wandell

01/04/2008

\_\_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) Includes 142,500 shares awarded under a Restricted Stock Plan. Restricted shares vest as follows: 37,500 on 11/1/2009, 60,000 shares on 1/3/2010, 7,500 shares on 8/1/2011 and 37,500 shares on 11/1/2011.

The number of underlying securities is based on the stock fund balance on January 3, 2008. 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 January 3, 2008, stock fund price of \$35.02 per share.
- (2) 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.
- (3) The phantom stock units were accrued under the Johnson Controls Equalization 401(k) Benefit Plan and are to be settled 100% in cash upon the reporting person's termination of employment.
- (4) Includes 149.102 phantom stock units acquired through the reinvestment of dividends on January 3, 2008, at a price of \$35.02 per phantom stock unit.
- (5) The phantom stock units were accrued under the Johnson Controls Long-Term Performance Plan and are to be settled 100% in cash upon the reporting person's termination of employment.
- (6) Includes 122.277 phantom stock units acquired through the reinvestment of dividends on January 3, 2008, at a price of \$35.02 per phantom stock unit.

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.
- (7) Includes 975.07 phantom stock units acquired through the reinvestment of dividends on January 3, 2008, at a price of \$35.02 per phantom stock unit.
- (8) Fifty percent of the stock option vests in two years and the balance after three years.
- (9) Fifty percent of the stock option vests in two years and the balance after three years.
- (10)

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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