Edgar Filing: Augustin Jeffrey G - Form 4

Augustin Jeffre	ey G										
Form 4 December 13, 2	2010										
								OMB APPROVAL			
Check this b	UNITEDS	Washington, D.C. 20549							3235-0287		
if no longer subject to Section 16. Form 4 or Form 5	STATEM								January 31, 2005 average irs per 0.5		
obligations may continu <i>See</i> Instructi 1(b).	e. Section 17(a	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 Resp	ponses)										
1. Name and Address of Reporting Person <u>*</u> Augustin Jeffrey G			2. Issuer Name and Ticker or Trading Symbol JOHNSON CONTROLS INC [JCI]				5. Relationship of Reporting Person(s) to Issuer				
(Last)	(First) (M	iddle)	3. Date of Earliest Transaction				(Che	(Check all applicable)			
5757 N GREEN BAY AVENUE, P.O. BOX 591			(Month/Day/Year) 12/10/2010				Director 10% Owner X Officer (give title Other (specify below) below) below) Vice President				
(Street) 4. If Amendmen Filed(Month/Day/					e Original		 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 				
MILWAUKEE	E, WI 53201						Person	More than One Ro	eporting		
(City)	(State) (Zip)	Table	I - Non-Do	erivative So	ecurities Ac	quired, Disposed o	of, or Beneficial	lly Owned		
	2. Transaction Date Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)		3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A) or		5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)			
G				Code V	Amount	(D) Price	(Instr. 3 and 4)				
Common Stock							11,700 <u>(1)</u>	D			
Common Stock							273.551 <u>(2)</u>	Ι	By 401(k) 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. Transactio 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 Underly (Instr. 3
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title
Phantom Stock Units/Retirement Restoration Plan	<u>(3)</u>	12/10/2010		А	306.639	(3)	(3)	Comi Sto
Phantom Stock Units/Long-Term Incentive Plan	<u>(4)</u>	12/10/2010		А	4,689.146	(4)	(4)	Com Sto
Phantom Stock Units/Restricted Stock Grant	<u>(5)</u>					(5)	(5)	Com Sto
Employee Stock Option (Right to Buy)	\$ 22.5617					11/16/2007	11/16/2015	Comi Stor
Employee Stock Option (Right to Buy)	\$ 23.965					10/02/2008	10/02/2016	Comi Stor
Employee Stock Option (Right to Buy)	\$ 40.21					10/01/2009	10/01/2017	Com Sto
Employee Stock Option (Right to Buy)	\$ 28.79					10/01/2010 <u>(7)</u>	10/01/2018	Com Sto
Employee Stock Option (Right to Buy)	\$ 24.87					10/01/2011 <u>(7)</u>	10/01/2019	Comi Sto
Employee Stock Option (Right to Buy)	\$ 30.54					10/01/2012 <u>(7)</u>	10/01/2020	Comi Sto

Reporting Owners

Reporting Owner Name / Address	Relationships					
1 0	Director	10% Owner	Officer	Other		
Augustin Jeffrey G 5757 N GREEN BAY AVENUE			Vice President			

Reporting Owners

P.O. BOX 591 MILWAUKEE, WI 53201

Signatures

Angela M. Blair, Attorney-in-Fact for Jeffrey G. 12/13/2010 Augustin **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).
- Includes 11,700 shares of restricted stock, of which 3,250 vest on November 2, 2011, 2,600 vest on November 1, 2012, 3,250 vest on (1)November 2, 2013, and 2,600 vest on November 1, 2014. All vesting is subject to continuous employment with the issuer.

The number of underlying securities is based on the stock fund balance on December 10, 2010. The actual number of shares issuable (2) 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 an December 10, 2010, stock fund price of \$37.96 per share.

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 Retirement Restoration Plan. Shares of phantom stock are payable in cash following the reporting

(3) person's termination of employment with the company and may be transferred by the reporting person into an alternative investment account at any time.

Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock. These phantom share units were (4) 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.

(5) Each share of phantom stock is the economic equivalent of one share of Johnson Controls common stock.

The phantom stock units representing dividends which relate to restricted stock awards that were not deferred will vest when the non-deferred restricted shares vest, and will be paid in cash to the reporting person. Phantom stock units representing dividends which

- (6)relate to vested deferred awards are payable in cash following the reporting person's retirement from the issuer and may be transferred into an alternative investment account. Vesting continues when the reporting person retires from the issuer.
- (7) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.

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.