

JOHNSON CONTROLS INC  
Form 4  
February 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 \*  
DAVIS SUSAN F

(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)  
02/02/2007

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)  
Executive 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 Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price   |
| Common Stock                    | 02/02/2007                           |  | M                              |   | 50,000  | A  | \$ 40.2975  |
|                                 |                                      |  |                                |   |   |  | 109,661.251 (1) (2)                                   |
| Common Stock                    | 02/02/2007                           |  | S                              |   | 50,000  | D  | \$ 94.753   |
|                                 |                                      |  |                                |   |   |  | 59,661.251 (1)  |
| Common Stock                    |                                      |  |                                |   |   |  | 108.597 (3)   |
|                                 |                                      |  |                                |   |   | I  | By 401(k) Plan  |

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**

SEC 1474 (9-02)

displays a currently valid OMB control number.

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 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 Instrument<br>(Instr. 3 and 4) |              |
|--|--|---|---|-----------------------------------|--|---|--|--------------|
|  |  |   |   | Code                              | V (A) (D)  | Date Exercisable  | Expiration Date  | Title        |
| Phantom Stock Units/Excess Benefit Plan-Common | (4)  |   |   |                                   |  | (5)   | (5)  | Common Stock |
| Phantom Stock Units/Annual Incentive Plan      | (4)  |   |   |                                   |  | (7)   | (7)  | Common Stock |
| Phantom Stock Units/Long-Term Incentive Plan   | (4)  |   |   |                                   |  | (9)   | (9)  | Common Stock |
| Phantom Stock Units/ Restricted Stock Grant    | (11)   |   |   |                                   |  | (11)  | (11)   | Common Stock |
| Stock Option                                   | \$ 40.2975   | 02/02/2007                              |   | M                                 | 50,000   | 11/20/2004  | 11/20/2012   | Common Stock |
| Stock Option                                   | \$ 52.55   |   |   |                                   |  | 11/19/2005 <sup>(13)</sup>                                  | 11/19/2013   | Common Stock |
| Stock Option                                   | \$ 61.69   |   |   |                                   |  | 11/17/2006 <sup>(13)</sup>                                  | 11/17/2014   | Common Stock |
| Stock Option                                   | \$ 67.685  |   |   |                                   |  | 11/16/2007 <sup>(13)</sup>                                  | 11/16/2015   | Common Stock |
| Stock Option                                   | \$ 71.895  |   |   |                                   |  | 10/02/2008 <sup>(13)</sup>                                  | 10/02/2016   | Common Stock |

## Reporting Owners

| Reporting Owner Name / Address | Relationships |           |         |       |
|--------------------------------|---------------|-----------|---------|-------|
|                                | Director      | 10% Owner | Officer | Other |

DAVIS SUSAN F  
 5757 N. GREEN BAY AVENUE  
 P.O. BOX 591  
 MILWAUKEE, WI 53201-0591

Executive  
 Vice  
 President

## Signatures

Arlene D. Gumm Attorney-in-Fact for Susan F.  
 Davis

02/05/2007

\_\_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) Includes 9,500 shares of restricted stock grants: 3,500 shares vest on 1/3/08; 3,500 vest on 1/3/10 and 2,500 vest on 8/1/11.
- (2) Includes 51.746 shares acquired through the reinvestment of dividends on January 3, 2007, at a price of \$87.6017 per share.  
 The number of underlying securities is based on the stock fund balance on February 2, 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 an February 2, 2007 stock fund price of \$94.85 per share.
- (3) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock. Units 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 Equalization 401(k) Benefit Plan and are to be settled 100% in cash upon the reporting person's termination of employment with the company.
- (5) Includes 1.157 phantom stock units which were acquired through the reinvestment of dividends on January 3, 2007, at a price of \$85.88 per phantom unit.
- (6) 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.
- (7) Includes 0.089 of a phantom stock unit which was acquired through the reinvestment of dividends on January 3, 2007, at a price of \$85.88 per phantom unit.
- (8) 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.
- (9) Includes 0.166 of a phantom stock unit which was acquired through the reinvestment of dividends on January 3, 2007, at a price of \$85.88 per phantom unit.  
 The phantom stock units were accrued under the Johnson Controls Deferred Restricted Stock Plan and are to be settled 100% in cash. Phantom units related to a deferred restricted stock grant are to be settled 100% in cash upon the reporting person's termination of employment with the company, pending vesting. Phantom units related to non-deferred restricted stock grants are to be settled 100% in cash upon vesting of the related grant.
- (10) Includes 64.936 phantom stock units which were acquired through the reinvestment of dividends on January 3, 2007, at a price of \$85.88 per phantom unit.
- (11) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.
- (12)
- (13)

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.