Molinaroli Alex A Form 4 October 05, 2009

## FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

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

Check this box

**SECURITIES** obligations may continue.

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(b).

(Last)

(City)

See Instruction

1. Name and Address of Reporting Person \* Molinaroli Alex A

(First)

(Street)

(State)

(Middle)

(Zip)

2. Issuer Name and Ticker or Trading Symbol

JOHNSON CONTROLS INC [JCI]

3. Date of Earliest Transaction

(Month/Day/Year) 10/01/2009

4. If Amendment, Date Original Filed(Month/Day/Year)

3.

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

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

MILWAUKEE, WI 53201

5757 N. GREEN BAY

AVENUE, P.O. BOX 591

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

4. Securities

5. Amount of Securities Beneficially Owned Following Reported

Form: Direct (D) or Indirect (I) (Instr. 4)

D

6. Ownership 7. Nature of Indirect Beneficial Ownership (Instr. 4)

Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

(A)

or

Common 34,500 (1) Stock

Common Stock

43,537.424 (2) I

By 401(k) Plan 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 required to respond unless the form displays a currently valid OMB control number.

SEC 1474 (9-02)

## Edgar Filing: Molinaroli Alex A - Form 4

# $\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (\emph{e.g.}, puts, calls, warrants, options, convertible securities) \\ \end{tabular}$

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. Transactic 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 Ame Underlying Sect (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	A N Sl
Employee Stock Option (Right to Buy)	\$ 24.87	10/01/2009		A	155,000	10/01/2011(3)	10/01/2019	Common Stock	
Phantom Stock Units - Retirement Restoration Plan	<u>(4)</u>					<u>(5)</u>	<u>(5)</u>	Common Stock	1
Phantom Stock Units - Annual Incentive Plan	<u>(4)</u>					<u>(7)</u>	<u>(7)</u>	Common Stock	1
Phantom Stock Units - LTIP Plan	<u>(4)</u>					<u>(9)</u>	<u>(9)</u>	Common Stock	
Phantom Stock Units - Restricted Stock Plan	(11)					<u>(11)</u>	<u>(11)</u>	Common Stock	1
Employee Stock Option (Right to Buy)	\$ 17.5167					11/19/2005	11/19/2013	Common Stock	
Employee Stock Option (Right to Buy)	\$ 20.5633					11/17/2006	11/17/2014	Common Stock	
Employee Stock	\$ 22.5617					11/16/2007	11/16/2015	Common Stock	

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Option (Right to Buy)

Employee

Stock Option

\$ 23.965

10/02/2008 10/02/2016

Common Stock

(Right to Buy)

Employee

Stock

Option \$ 40.21

10/01/2009(3) 10/01/2017

Common Stock

(Right to Buy)

Employee Stock

Option \$ 28.79

10/01/2010<sup>(3)</sup> 10/01/2018

Common Stock

(Right to Buy)

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Molinaroli Alex A

5757 N. GREEN BAY AVENUE Vice P.O. BOX 591 President

MILWAUKEE, WI 53201

### **Signatures**

Angela M. Blair, Attorney-in-Fact for Alex A.

Molinaroli

10/05/2009

\*\*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 shares for restricted stock grants: 9,750 which vest on 11/1/2009; 15,000 which vest on 1/3/2010; and 9,750 which vest on 11/1/2011.
- The number of underlying securities is based on the stock fund balance on September 30, 2009. 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 September 30, 2009, stock fund price of \$25.56 per share.
- (3) Fifty percent of the options vest after two years and the remaining 50% vests after three years.
- 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.

**(5)** 

Reporting Owners 3

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The phantom stock units were accrued under the Johnson Controls Retirement Restoration Plan, and are to be settled 100% in cash following the reporting person's termination of employment with the company.

- (6) Includes 76.317 phantom stock units acquired through the reinvestment of dividends on October 2, 2009, at \$23.77 per phantom stock unit.
- (7) The phantom stock units were accrued under the Johnson Controls Annual Incentive Plan and are to be settled 100% in cash following the reporting person's termination of employment with the company.
- (8) Includes 80.268 phantom stock units acquired through the reinvestment of dividends on October 2, 2009, at \$23.77 per phantom stock unit.
- (9) The phantom stock units were accrued under the Johnson Controls Long-Term Incentive Plan and are to be settled 100% in cash following the reporting person's termination of employment with the company.
- (10) Includes 27.612 phantom stock units acquired through the reinvestment of dividends on October 2, 2009, at \$23.77 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.
- (12) Includes 257.80 phantom stock units acquired through the reinvestment of dividends on October 2, 2009, at \$23.77 per phantom stock unit.

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.