

BARTH JOHN M
Form 4
October 30, 2007

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 *
BARTH JOHN M

2. Issuer Name and Ticker or Trading Symbol
JOHNSON CONTROLS INC [JCI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
5757 N. GREEN BAY AVENUE, P.O. BOX 591
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
10/29/2007

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman

MILWAUKEE, WI 53201

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

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	09/28/2007		Z		372,327 ⁽¹⁾	D	0	By Eileen Barth Trust
Common Stock	09/28/2007		Z		378,660 ⁽³⁾	D	0	By John Barth Trust
Common Stock	09/28/2007		Z		750,987	A	750,987	By Barth Family Community Property Trust
Common Stock	10/29/2007		I ⁽⁴⁾		46,481.9377 ⁽⁵⁾ ⁽⁶⁾	D	\$ 44 0	By 401(k) Plan

Edgar Filing: BARTH JOHN M - 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 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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title Underlying Security (Instr. 3)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Phantom Stock Units/Restricted Stock Grant	<u>(7)</u>	10/29/2007		<u>I(8)</u>	291,067.76	<u>(9)</u>	<u>(9)</u>	Common Stock
Phantom Stock Units/LTPP	<u>(11)</u>	10/29/2007		<u>I(8)</u>	166,459.773 <u>(12)</u>	<u>(13)</u>	<u>(13)</u>	Common Stock
Phantom Stock Units/Excess Benefit Plan - Common	<u>(11)</u>	10/29/2007		<u>I(8)</u>	105,710.6 <u>(14)</u>	<u>(15)</u>	<u>(15)</u>	Common Stock
Stock Option	\$ 13.4325 <u>(16)</u>					11/20/2004	11/20/2012	Common Stock
Stock Option	\$ 17.5167 <u>(17)</u>					11/19/2005	11/19/2013	Common Stock
Stock Option	\$ 20.5633 <u>(18)</u>					11/17/2006	11/17/2014	Common Stock
Stock Option	\$ 22.5617 <u>(20)</u>					11/16/2007 ⁽¹⁹⁾	11/16/2015	Common Stock
Stock Option	\$ 23.965 <u>(21)</u>					10/02/2008 ⁽¹⁹⁾	10/02/2016	Common Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BARTH JOHN M 5757 N. GREEN BAY AVENUE P.O. BOX 591 MILWAUKEE, WI 53201	X		Chairman	

Signatures

Arlene D. Gumm, Attorney-in-fact for John M.
Barth

10/30/2007

__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) On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in 248,218 additional shares of common stock in the trust of the spouse of the reporting person.
- (2) Transfer from individual trust to a family community property trust.
- (3) On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 252,440 additional shares of common stock in his trust.
- (4) Reporting person transferred holdings from company stock to other investments in the 401(k) plan to provide diversification pending retirement from the company.
- (5) On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in 30,973.6757 additional shares of common stock in the reporting person's 401(k) plan.
- (6) On October 29, 2007, a Form 144 covering the sale of the shares by Fidelity Management Trust Company for the benefit of the reporting person, was filed with the SEC and NYSE. An error on the report reported a total of 59,361.787 as the number of shares to be sold. The actual shares required to be sold is the 46,481.9377 shares reported on this form. The value of the total 401(k) fund was inadvertently converted to shares of stock for the Form 144 filing. The reporting person holds other investments in the fund that are not company stock and the other investments represent the difference of \$491,917.52 in value, or 12,879.8493 shares which were over reported on the Form 144.
- (7) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock. Units of vested 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. Vesting continues in retirement.
- (8) Reporting person transferred holdings from company phantom stock units to other investments in the plan to provide diversification pending retirement from the company.
- (9) The phantom stock units were accrued under the Johnson Controls Restricted Stock Deferral Plan and are to be settled 100% in cash upon the reporting person's termination of employment with the company.
- (10) Includes 2,840.285 pre-split phantom stock units acquired through the reinvestment of dividends on January 2, March 30, June 29 and October 2, 2007 at prices ranging from \$85.88-\$119.60 per unit. On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 442,565.983 additional phantom stock units.
- (11) 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.
- (12) Includes 712.199 pre-split phantom stock units acquired through the reinvestment of dividends on January 2, March 30, June 29 and October 2, 2007 at prices ranging from \$85.88-\$119.60 per unit. On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 110,973.182 additional phantom stock units.
- (13) 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 retirement.
- (14) Includes 452.2817 pre-split phantom stock units acquired through the reinvestment of dividends on January 2, March 30, June 29 and October 2, 2007 at prices ranging from \$85.88-\$119.60 per unit. On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 70,473.7334 additional phantom stock units.
- (15) 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 retirement.
- (16) On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 700,000 additional options. The option price changed from \$40.2975 to \$13.4325.

Edgar Filing: BARTH JOHN M - Form 4

- (17) On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 800,000 additional options. The option price changed from \$52.55 to \$17.5167.
- (18) On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 800,000 additional options. The option price changed from \$61.69 to \$20.5633.
- (19) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.
- (20) On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 800,000 additional options. The option price changed from \$67.695 to \$22.5617.
- (21) On October 2, 2007, the common stock of Johnson Controls, Inc., split 3-for-1, resulting in the reporting person's ownership of 650,000 additional options. The option price changed from \$71.895 to \$23.965.

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.