

JOHNSON CONTROLS INC  
Form 4  
October 04, 2006

**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 \*  
OKARMA JEROME D

(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)  
10/02/2006

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)  
VP, Secretary & Gen Counsel

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| Common Stock                    |                                      |  |                                | (A) or (D) Price  | 20,139 <sup>(1)</sup>   | D  |                                   |
| Common Stock                    |                                      |  |                                | (A) or (D) Price  | 10,949.99 <sup>(2)</sup>  | I  | By 401(k) Plan Trust              |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474 (9-02)

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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. 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 and Underlying Security (Instr. 3 and 4) |              |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date                                   | Title        |
| Phantom Stock Units/Excess 401(k) Plan     | (3)  |                                      |  |                                |   | (4)  | (4)   | Common Stock |
| Phantom Stock Units/Restricted Stock Grant | (6)  |                                      |  |                                |   | (6)  | (6)   | Common Stock |
| Stock Option                               | \$ 28.4219   |                                      |  |                                |   | 11/15/2002   | 11/15/2010  | Common Stock |
| Stock Option                               | \$ 40.115  |                                      |  |                                |   | 11/14/2003   | 11/14/2011  | Common Stock |
| Stock Option                               | \$ 40.2975   |                                      |  |                                |   | 11/20/2004   | 11/20/2012  | Common Stock |
| Stock Option                               | \$ 52.55   |                                      |  |                                |   | 11/19/2005 <sup>(8)</sup>                                | 11/19/2013  | Common Stock |
| Stock Option                               | \$ 61.69   |                                      |  |                                |   | 11/17/2006 <sup>(8)</sup>                                | 11/17/2014  | Common Stock |
| Stock Option                               | \$ 67.685  |                                      |  |                                |   | 11/16/2007 <sup>(8)</sup>                                | 11/16/2015  | Common Stock |
| Stock Option                               | \$ 71.895  | 10/02/2006                           |  | A                              | 40,000  | 10/02/2008 <sup>(8)</sup>                                | 10/02/2016  | Common Stock |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                                   |       |
|---|---------------|-----------|-----------------------------------|-------|
|   | Director      | 10% Owner | Officer                           | Other |
| OKARMA JEROME D<br>5757 N. GREEN BAY AVENUE<br>P.O. BOX 591<br>MILWAUKEE, WI 53201-0591 |               |           | VP,<br>Secretary &<br>Gen Counsel |       |

## Signatures

Arlene D. Gumm, Attorney-in-Fact for Jerome D.  
Okarma

10/04/2006

\_\_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 an award of 15,000 shares of restricted stock. Fifty percent is released from restriction after two years and 50% after four years.  
The number of underlying securities is based on the stock fund balance on September 29, 2006. 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 a September 29 2006, stock fund price of \$71.74 per share.  
Each share of phantom stock is the economic equivalent of one share of Johnson Controls common stock. Shares of phantom stock are
- (3) 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 retirement.
- (5) Includes 219,218 phantom stock units acquired through the Company Match and the reinvestment of dividends on March 31, June 30 and September 29, 2006, at prices ranging from \$71.74 - \$82.225 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
- (6) 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) Represents 165,546 phantom stock units acquired through the reinvestment of dividends on March 31, June 30 and September 29, 2006, at prices ranging from \$71.74 - \$82.225 per phantom stock unit.
- (8) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.

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