Augustin Jeffrey G Form 4 October 05, 2009

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** 

3235-0287 Number: January 31, Expires:

2005

**OMB APPROVAL** 

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response... 0.5

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

obligations

1(b).

Check this box

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 may continue. 30(h) of the Investment Company Act of 1940 See Instruction

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Augustin Jeffrey G Issuer Symbol JOHNSON CONTROLS INC [JCI] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X\_ Officer (give title Other (specify 5757 N GREEN BAY 10/01/2009 below) AVENUE, P.O. BOX 591 Vice President (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

#### MILWAUKEE, WI 53201

| (City)                               | (State) (Z                              | Zip) Table                       | I - Non-Do   | erivative S | Securities Ac | quired, Disposed  | of, or Beneficia           | lly Owned                        |
|--------------------------------------|---|----------------------------------|--|-------------|---------------|---|----------------------------|----------------------------------|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if | 3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) |             | (A) or        | 5. Amount of 6. Ownership Securities Form: Direct Beneficially (D) or |                            | 7. Nature of Indirect Beneficial |
| (mail: 3)                            |   | (Month/Day/Year)                 | (Instr. 8)   | (Instr. 3,  | ` /           | Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4)  | Indirect (I)<br>(Instr. 4) | Ownership<br>(Instr. 4)          |
| Common<br>Stock                      |   |                                  | Code v   | Amount      | (D) Thee      | 271.733 (1)   | I                          | By 401(k)<br>Trust               |

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Person

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

#### Edgar Filing: Augustin Jeffrey G - Form 4

| 1. Title of Derivative<br>Security<br>(Instr. 3)      | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transact<br>Code<br>(Instr. 8) | 5. Number of iorDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and<br>Underlying<br>(Instr. 3 an |
|---|---|---|---|--------------------------------------|--|--|--------------------|--|
|   |   |   |   | Code V                               | / (A) (D   | Date Exercisable   | Expiration<br>Date | Title                                      |
| Employee Stock<br>Option (Right to<br>Buy)            | \$ 24.87  | 10/01/2009                              |   | A                                    | 48,000   | 10/01/2011 <u>(2)</u>                                    | 10/01/2019         | Common<br>Stock                            |
| Phantom Stock<br>Units/Retirement<br>Restoration Plan | <u>(3)</u>  |   |   |                                      |  | (3)  | (3)                | Common<br>Stock                            |
| Phantom Stock<br>Units/Long-Term<br>Incentive Plan    | <u>(5)</u>  |   |   |                                      |  | <u>(5)</u>   | (5)                | Common<br>Stock                            |
| Phantom Stock<br>Units/Restricted<br>Stock Grant      | (7)   |   |   |                                      |  | <u>(7)</u>   | <u>(7)</u>         | Common<br>Stock                            |
| Employee Stock<br>Option (Right to<br>Buy)            | \$ 22.5617  |   |   |                                      |  | 11/16/2007   | 11/16/2015         | Common<br>Stock                            |
| Employee Stock<br>Option (Right to<br>Buy)            | \$ 23.965   |   |   |                                      |  | 10/02/2008   | 10/02/2016         | Common<br>Stock                            |
| Employee Stock<br>Option (Right to<br>Buy)            | \$ 40.21  |   |   |                                      |  | 10/01/2009(2)  | 10/01/2017         | Common<br>Stock                            |
| Employee Stock<br>Option (Right to<br>Buy)            | \$ 28.79  |   |   |                                      |  | 10/01/2010 <sup>(2)</sup>                                | 10/01/2018         | Common<br>Stock                            |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |           |           |       |  |  |
|--------------------------------|---------------|-----------|-----------|-------|--|--|
| <b>Fg</b>                      | Director      | 10% Owner | Officer   | Other |  |  |
| Augustin Jeffrey G             |               |           |           |       |  |  |
| 5757 N GREEN BAY AVENUE        |               |           | Vice      |       |  |  |
| P.O. BOX 591                   |               |           | President |       |  |  |
| MILWAUKEE, WI 53201            |               |           |           |       |  |  |

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## **Signatures**

| Angela M. Blair, Attorney-in-Fact for Jeffrey G. |  |
|--|--|
| Augustin   |  |

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).
- 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 an September 30, 2009, stock fund price of \$25.56 per share.
- (2) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.
- 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
- person's termination of employment with the company and may be transferred by the reporting person into an alternative investment account at any time.
- Includes 57.819 units acquired through ongoing employee payroll contributions and the reinvestment of dividends on January 5, April 2, (4) July 2, and October 2, 2009, at prices ranging from \$15.02 to \$23.77 per phantom stock unit, and a company match of 736.25 phantom stock units.
- Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock. These phantom share units were 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.
- (6) Includes 493.799 phantom stock units acquired through the reinvestment of dividends on January 5, April 2, July 2, and October 2, 2009, at prices ranging from \$15.02 to \$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 will be settled 100% in cash following the reporting person's termination of employment with the company, subject to a vesting schedule.
- (8) Includes 681.549 phantom stock units acquired through the reinvestment of dividends on January 5, April 2, July 2, and October 2, 2009, at prices ranging from \$15.02 to \$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.

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