

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 \*  
**BARTH JOHN M**

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

**MILWAUKEE, WI 53201**

(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)  
**Chairman and CEO**

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	125,335	I	By Eileen Barth Trust
Common Stock				(A) or (D) Price	126,220	I	By John Barth Trust
Common Stock				(A) or (D) Price	15,508.262 <sup>(1)</sup>	I	By 401(k) Plan

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

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SEC 1474 (9-02)

number.

**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 (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title
Phantom Stock Units/Restricted Stock Grant	(2)							(3)	(3)	Common Stock
Phantom Stock Units/LTPP	(5)							(6)	(6)	Common Stock
Phantom Stock Units/Excess Benefit Plan - Common	(5)							(8)	(8)	Common Stock
Stock Option	\$ 40.2975							11/20/2004	11/20/2012	Common Stock
Stock Option	\$ 52.55							11/19/2005 <sup>(10)</sup>	11/19/2013	Common Stock
Stock Option	\$ 61.69							11/17/2006 <sup>(10)</sup>	11/17/2014	Common Stock
Stock Option	\$ 67.685							11/16/2007 <sup>(10)</sup>	11/16/2015	Common Stock
Stock Option	\$ 71.895	10/02/2006		A		325,000		10/02/2008 <sup>(10)</sup>	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 and CEO	

## Signatures

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

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) The number of underlying securities is based on the stock fund balance on 9/29/2006. 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 9/29/2006 stock fund price of \$71.74 per share.
- (2) 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 are to be settled 100% in cash upon the reporting person's termination of employment with the company.
- (3) 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.
- (4) Includes 2,384.499 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.
- (5) 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.
- (6) 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.
- (7) Includes 597.913 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) 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.
- (9) Includes 1,937.756 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.
- (10) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after grant date.

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.