

VOLTOLINA FRANK A
Form 4
October 11, 2011

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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 *
VOLTOLINA FRANK A

(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)
10/07/2011

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)
Vice President and Treasurer

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	50,349.72 ⁽¹⁾	D	
Common Stock				(A) or (D) Price	7,029.48 ⁽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: VOLTOLINA FRANK A - Form 4

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 Amount of Underlying Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Employee Stock Option (Right to Buy)	\$ 28.54	10/07/2011		A	32,500	10/07/2013 ⁽³⁾	10/07/2021	Common Stock
Phantom Stock Units - Restricted Stock Grant	⁽⁴⁾	10/07/2010		A	5,300	10/07/2013 ⁽⁵⁾⁽⁶⁾	10/07/2015	Common Stock
Phantom Stock Units - Long-Term Incentive Plan	⁽⁴⁾					⁽⁷⁾	⁽⁷⁾	Common Stock
Phantom Stock Units - Retirement Restoration Plan	⁽⁴⁾					⁽⁹⁾	⁽⁹⁾	Common Stock
Employee Stock Option (Right to Buy)	\$ 20.5633					11/17/2006	11/17/2014	Common Stock
Employee Stock Option (Right to Buy)	\$ 22.5617					11/16/2007	11/16/2015	Common Stock
Employee Stock Option (Right to Buy)	\$ 23.965					10/02/2008	10/02/2016	Common Stock

Buy) Employee Stock Option (Right to Buy)	\$ 40.21	10/01/2009	10/01/2017	Common Stock
Employee Stock Option (Right to Buy)	\$ 28.79	10/01/2010	10/01/2018	Common Stock
Employee Stock Option (Right to Buy)	\$ 24.87	10/01/2011 ⁽³⁾	10/01/2019	Common Stock
Employee Stock Option (Right to Buy)	\$ 30.54	10/01/2012 ⁽³⁾	10/01/2020	Common Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
VOLTOLINA FRANK A 5757 N. GREEN BAY AVENUE P.O. BOX 591 MILWAUKEE, WI 53201-0591			Vice President and Treasurer	

Signatures

Angela M. Blair, Attorney-in-fact for Frank A. Voltolina	10/11/2011
<small>**Signature of Reporting Person</small>	<small>Date</small>

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 the following previously granted shares of restricted stock which vest as follows: 3,250 on November 2, 2011, 3,000 on November 1, 2012, 3,250 on November 2, 2013, and 3,000 on November 1, 2014, all subject to continuous employment with the issuer.
- (2) The number of underlying securities is based on the stock fund balance on October 4, 2011. 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 October 4, 2011, stock fund price of \$27.56 per share.
- (3) Fifty percent of the options vest after two years and the remaining 50% vests after three years.
- (4) Each share of phantom stock is the economic equivalent of one share of Johnson Controls common stock.

Edgar Filing: VOLTOLINA FRANK A - Form 4

- (5) The restricted stock units accrue under the Johnson Controls Restricted Stock Plan. The balance includes a grant of 5,300 deferred restricted stock units which vest as follows: 2,650 on October 7, 2013 and 2,650 on October 7, 2015. The units and dividends which relate to the units and accrue during the vesting period will be settled, 100% in cash, upon retirement.
- (6) Includes 619,447 phantom stock units acquired through the reinvestment of dividends on January 4, April 5, July 5 and October 4, 2011, at prices ranging from \$27.56 to \$42.25 per phantom stock unit. The units representing (a) vested, deferred restricted stock awards and dividends which relate to the awards, both of which will be settled 100% in cash upon retirement and may be transferred into an alternative investment account, (b) dividends which relate to unvested, non-deferred restricted stock awards, which will be settled 100% in cash upon vesting of the award and (c) unvested, deferred restricted stock awards and dividends which relate to awards, both of which will be settled 100% in cash upon retirement.
- (7) The phantom stock units were accrued under the Johnson Controls Long Term Incentive Plan and are to be settled 100% in cash upon the reporting person's termination of employment with the company.
- (8) Includes 92,787 phantom stock units acquired through the reinvestment of dividends on January 4, April 5, July 5 and October 4, 2011, at prices ranging from \$27.56 to \$42.25 per phantom stock unit.
- (9) The phantom stock units were accrued under the Johnson Controls Retirement Restoration Plan and are to be settled 100% in cash upon the reporting person's termination of employment with the company.
- (10) Includes 207.50 phantom stock units acquired through the reinvestment of dividends on January 4, April 5, July 5 and October 4, 2011, at prices ranging from \$27.56 to \$42.25 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.