

ROELL STEPHEN A
Form 4
November 16, 2009

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
ROELL STEPHEN A

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)
07/17/2007

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

MILWAUKEE, WI 53201-0591
(City) (State) (Zip)

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

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	07/17/2007		A		204 ⁽¹⁾	A	\$ 41.7269 ₍₂₎	721,848 ⁽³⁾ ₍₄₎		D	
Common Stock	07/24/2007		A		117 ⁽¹⁾	A	\$ 38.5733 ₍₂₎	721,965 ⁽³⁾ ₍₄₎		D	
Common Stock	08/15/2007		A		207 ⁽¹⁾	A	\$ 36.7074 ₍₂₎	722,172 ⁽³⁾ ₍₄₎		D	
Common Stock	09/04/2007		A		108 ⁽¹⁾	A	\$ 37.9366 ₍₂₎	722,280 ⁽³⁾ ₍₄₎		D	

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				<u>(2)</u>			
Common Stock	11/30/2007	A	93	A	\$ 39.1047	722,373 ⁽³⁾ <u>(4)</u>	D
Common Stock	02/01/2008	A	126	A	\$ 35.5116	722,499 ⁽³⁾ <u>(4)</u>	D
Common Stock	02/20/2008	A	35	A	\$ 33.97	722,534 ⁽³⁾ <u>(4)</u>	D
Common Stock	02/06/2009	A	308	A	\$ 14.2448	722,842 ⁽³⁾ <u>(4)</u>	D
Common Stock	03/03/2009	S	327	D	\$ 10.6728	722,515 ⁽³⁾ <u>(4)</u>	D
Common Stock	03/19/2009	A	203	A	\$ 11.53	722,718 ⁽³⁾ <u>(4)</u>	D
Common Stock						33,201.48 ⁽⁵⁾	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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(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	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)
Phantom Stock Units / Restricted Stock Grant	<u>(6)</u>					Date Exercisable: 11/02/2011 ⁽⁷⁾ Expiration Date: 11/02/2013 ⁽⁷⁾	Common Stock
Phantom Stock Units/Retirement Restoration Plan	<u>(6)</u>					<u>(8)</u>	Common Stock
Phantom Stock Units / Restricted	<u>(6)</u>					<u>(9)</u>	Common Stock

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- (4) The transactions were effected in a discretionary brokerage account over which Mr. Roell had no investment control.
- The number of underlying securities is based on the stock fund balance on November 13, 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 a November 13, 2009, stock fund price of \$27.13 per share.
- (5) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- The phantom stock balance consists of an award of 113,000 restricted stock units granted on November 2, 2009, which vest as follows:
- (6) 56,500 on November 2, 2011, and 56,500 on November 2, 2013. The phantom stock units representing the award, and the dividends which accrue during the restrictive period, are to be settled 100% in cash, pending vesting.
- (7) The phantom stock units were accrued under the Johnson Controls Retirement Restoration Plan. The units are payable in cash following the reporting person's retirement from the issuer, and may be transferred by the reporting person into an alternative investment account.
- The phantom stock units representing dividends which relate to restricted stock awards that were not deferred will vest when the non-deferred restricted shares vest, and will be paid in cash to the reporting person. Phantom stock units representing dividends which relate to vested, deferred restricted stock awards are payable in cash following the reporting person's termination from the issuer and may be transferred into an alternative investment account. Vesting continues when the reporting person retires from the issuer.
- (8) Fifty percent of the options vest after two years and the remaining 50% vests after three years.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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