### Edgar Filing: VOLTOLINA FRANK A - Form 4/A

#### VOLTOLINA FRANK A

Form 4/A January 05, 2007

## FORM 4

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

**OMB** 3235-0287 Number:

**OMB APPROVAL** 

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005

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Form 4 or Form 5 obligations may continue.

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

burden hours per response...

Estimated average

See Instruction 1(b).

(Print or Type Responses)

	Address of Reporting NA FRANK A	Symbo	suer Name and Ticker or Trading ol NSON CONTROLS INC [JCI]	5. Relationship of Re Issuer	porting Person(s) to  Il applicable)
	(First) (FIRST	(Month	e of Earliest Transaction h/Day/Year) 8/2007	DirectorX Officer (give title below)	10% Owner
MILWAU	(Street) KEE, WI 53201-0	Filed(N 01/05	mendment, Date Original Month/Day/Year) 5/2007	6. Individual or Joint/ Applicable Line) _X_ Form filed by One Form filed by More Person	
(City)	(State)	(Zip) T	able I - Non-Derivative Securities Ac	quired, 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	Code (Instr. 3, 4 and 5)	Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. 7. Nature of Ownership Indirect Form: Beneficial Ownership or Indirect (I) (Instr. 4)
Common Stock	01/03/2007(1)		A 28.538 A \$ 87.60	9,627.933 <u>(2)</u>	D
Common Stock				843.422 (3)	By 401(k) I Plan Trust
Reminder: Re	port on a separate line	e for each class of so		ond to the collection	

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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. Transactic Code (Instr. 8)	5. onNumber of Derivativ Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	3		7. Title and A Underlying S (Instr. 3 and	Securities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Phantom Stock Units - Long-Term Incentive Plan	<u>(4)</u>					<u>(5)</u>	<u>(5)</u>	Common Stock	1,640.3
Phantom Stock Units - Excess Benefit Plan	<u>(4)</u>					<u>(7)</u>	<u>(7)</u>	Common Stock	1,815.2
Phantom Stock Units - Restricted Stock Grant	<u>(9)</u>					(9)	<u>(9)</u>	Common Stock	4,059.6
Stock Option	\$ 61.69					11/17/2006(11)	11/17/2014	Common Stock	16,00
Stock Option	\$ 67.685					11/16/2007(11)	11/16/2015	Common Stock	20,00
Stock Option	\$ 71.895					10/02/2008(11)	10/02/2016	Common Stock	16,00

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
<b>Fg</b>	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			

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## **Signatures**

Arlene D. Gumm, Attorney-in-fact for Frank A. Voltolina

01/05/2007

\*\*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) Amended to correct the code from disposition to acquisition.
- (2) Includes 29.248 shares acquired through the reinvestment of dividends on January 3, 2007, at a price of \$87.6017 per share.
- The number of underlying securities is based on the stock fund balance on January 4, 2007. 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 January 4, 2007, stock fund price of \$85.89 per share.
- 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.
- (5) The phantom stock units were accrued under the Johnson Controls Annual Incentive Plan and are to be settled 100% in cash upon the reporting person's termination of employment with the company.
- (6) Includes 6.279 phantom stock units acquired through reinvestment of dividends on January 3, 2007, at a price of \$85.88 per phantom unit.
- 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 termination of employment with the company. Phanton stock units accrue in the plan through monthly payroll deductions once the limit has been reached in the 401(k) Plan. The Equalization Plan mirrors the company's broad-based 401(k) Plan.
- (8) Includes 15.448 phantom stock units acquired through an investment of a payroll deduction and the reinvestment of dividends on January 3, 2007, at a price of \$85.88 per phantom 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 represent the reinvestment of dividends and are to be settled 100% in cash upon the vesting of the reporting person's Restricted Stock.
- (10) Includes 15.54 phantom stock units acquired through reinvestment of dividends on January 3, 2007, at a price of \$85.88 per phantom unit
- (11) 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. 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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