#### VOLTOLINA FRANK A

Form 4 May 22, 2007

## FORM 4

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

**OMB** Number:

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**SECURITIES** 

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Form 4 or Form 5 obligations may continue.

Check this box

if no longer

subject to

Section 16.

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

See Instruction

1(b).

Stock

(Print or Type Responses)

			ner Name <b>and</b> Ticker or Trading  SON CONTROLS INC [JCI]	5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (1		of Earliest Transaction	(Check all applicable)			
	REEN BAY P.O. BOX 591	(Month/ 05/21/	/Day/Year) /2007	Director 10% Owner _X Officer (give title Other (specify below)  Vice President and Treasurer			
	(Street)		nendment, Date Original (onth/Day/Year)	<ul><li>6. Individual or Joint/Group Filing(Check</li><li>Applicable Line)</li><li>_X_ Form filed by One Reporting Person</li></ul>			
MILWAUKEE, WI 53201-0591 — Form filed by More than One Reporting Person							
(City)	(State)	(Zip) Tal	ble I - Non-Derivative Securities A	cquired, Disposed of, or Beneficially Owned			
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	e 2A. Deemed Execution Date, if any (Month/Day/Year)	Code (Instr. 3, 4 and 5)	Ownership Indirect Beneficially Form: Direct Beneficial Owned (D) or Ownership Following Indirect (I) (Instr. 4) Reported (Instr. 4) Transaction(s) (Instr. 3 and 4)			
Common Stock	05/21/2007		M 8,000 A \$61	69 17,765.792 D			
Common Stock	05/21/2007		S 6,300 D \$ 110.	25 11,465.792 D			
Common				1 027 68 (1) I By 401(k)			

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

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 $1,027.68 \frac{(1)}{}$ 

Plan Trust

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

#### 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. Transact Code (Instr. 8)	tioı	Securitie	ative es d	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount Underlying Securiti (Instr. 3 and 4)	
				Code V	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amou Numb Share
Phantom Stock Units - Long-Term Incentive Plan	<u>(2)</u>							(3)	(3)	Common Stock	1,64
Phantom Stock Units - Excess Benefit Plan	<u>(2)</u>							<u>(4)</u>	<u>(4)</u>	Common Stock	2,00
Phantom Stock Units - Restricted Stock Grant	<u>(5)</u>							<u>(5)</u>	(5)	Common Stock	4,07
Stock Option	\$ 61.69	05/14/2007		M		8,000		11/17/2006(6)	11/17/2014	Common Stock	8,
Stock Option	\$ 67.685							11/16/2007(6)	11/16/2015	Common Stock	20,
Stock Option	\$ 71.895							10/02/2008(6)	10/02/2016	Common Stock	16,

# **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				

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### **Signatures**

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

05/22/2007

\*\*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).
- The number of underlying securities is based on the stock fund balance on May 21, 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 May 1, 2007, stock fund price of \$110.22 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.
- (3) 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.
- 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. Phantom 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.
- 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.
- (6) 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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