

VOLTOLINA FRANK A

Form 4

January 24, 2013

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

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

## OMB APPROVAL

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response... 0.5

(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)

01/22/2013

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

Vice President and Treasurer

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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)
Common Stock	01/22/2013		M	3,000	A \$ 20.5633	52,181.581	D
Common Stock	01/22/2013		S	3,000	D \$ 31.01	49,182.581	D
Common Stock	01/23/2013		M	21,000	A \$ 20.5633	70,182.581	D
Common Stock	01/23/2013		S	21,000	D \$ 30.654	49,182.581	D
Common Stock					6,756.79 <sup>(1)</sup>	I	By 401(k) Plan Trust

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

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SEC 1474  
(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 (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 Underlying Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount Number Shares
Employee Stock Option (Right to Buy)	\$ 20.5633	01/22/2013		M	3,000	11/17/2006 11/17/2014	Common Stock
Employee Stock Option (Right to Buy)	\$ 20.5633	01/23/2013		M	21,000	11/17/2006 11/17/2004	Common Stock
Phantom Stock Units - Restricted Stock Grants	(2)					(3) (3)	Common Stock
Phantom Stock Units - Long-Term Incentive Plan	(2)					(5) (5)	Common Stock
Phantom Stock Units - Retirement Restoration Plan	(2)					(7) (7)	Common Stock
Employee Stock	\$ 22.5617					11/16/2007 11/16/2015	Common Stock

Option  
(Right to  
Buy)

Employee  
Stock

Option \$ 23.965  
(Right to  
Buy)

10/02/2008

10/02/2016

Common  
Stock

4

Employee  
Stock

Option \$ 40.21  
(Right to  
Buy)

10/01/2009

10/01/2017

Common  
Stock

3

Employee  
Stock

Option \$ 28.79  
(Right to  
Buy)

10/01/2010

10/01/2018

Common  
Stock

4

Employee  
Stock

Option \$ 24.87  
(Right to  
Buy)

10/01/2011

10/01/2019

Common  
Stock

4

Employee  
Stock

Option \$ 30.54  
(Right to  
Buy)

10/01/2012<sup>(9)</sup>

10/01/2020

Common  
Stock

3

Employee  
Stock

Option \$ 28.54  
(Right to  
Buy)

10/07/2013<sup>(9)</sup>

10/07/2021

Common  
Stock

3

Employee  
Stock

Option \$ 27.85  
(Right to  
Buy)

10/05/2014<sup>(9)</sup>

10/05/2022

Common  
Stock

1

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
VOLTOLINA FRANK A 5757 N. GREEN BAY AVENUE			Vice President and	

P.O. BOX 591  
MILWAUKEE, WI 53201-0591

Treasurer

## Signatures

Angela M. Blair, Attorney-in-fact for Frank A.  
Voltolina

01/24/2013

\_\_\_\_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 January 3, 2013. The actual number of shares issuable upon the
- (1) 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 3, 2013, stock fund price of \$31.80 per share.
  - (2) Each share of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
  - (3) The restricted stock units accrue under the Johnson Controls Restricted Stock Plan. The balance includes phantom stock and dividend equivalent units that settle 100% in cash and relate to restricted stock awards.
  - (4) Includes 263.789 phantom stock units acquired on December 28, 2012 via dividend reinvestment at \$30.11 per phantom stock unit.
  - (5) 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.
  - (6) Includes 34.735 phantom stock units acquired on December 28, 2012 via dividend reinvestment at \$30.11 per phantom stock unit.
  - (7) 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.
  - (8) Includes 78.687 phantom stock units acquired on December 28, 2012 via dividend reinvestment at \$30.11 per phantom stock unit.
  - (9) 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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