## SECURITIES AND EXCHANGE COMMISSION

# FORM 4

Statement of changes in beneficial ownership of securities

Filing Date: **2003-11-20** | Period of Report: **2003-11-19** SEC Accession No. 0001205031-03-000006

(HTML Version on secdatabase.com)

## **REPORTING OWNER**

## **BARTH JOHN M**

CIK:1205031

Type: 4 | Act: 34 | File No.: 001-05097 | Film No.: 031016448

Business Address JOHNSON CONTROLS INC 5757 N. GREEN BAY AVE. MILWAUKEE WI 53201

## **ISSUER**

## **JOHNSON CONTROLS INC**

CIK:53669| IRS No.: 390380010 | State of Incorp.:WI | Fiscal Year End: 0930

SIC: 2531 Public bldg & related furniture

Business Address 5757 N GREEN BAY AVENUE P O BOX 591 MILWAUKEE WI 53201 4142281200

## FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL											
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hours per response	0.5										

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

1. Name and Address  BARTH JOHN			2. Issuer Name and Ticker or Trading Symbol  JOHNSON CONTROLS INC [JCI]	Relationship of Reporting Person(s) to Issuer     (Check all applicable)     X Director 10% Owner
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/19/2003	Officer (give titleOther (specify below) below)  President and CEO
5757 N. GREEN B	AY AVENUE, P.O	O. BOX 591		
MILWAUKEE, W	(Street)		4. If Amendment, Date Original Filed(Month/Day/Year)	6. Individual or Joint/Group Filing  (Check applicable line) X Form Filed by One Reporting Person  Form Filed by More than One Reporting Person
(City)	(State)	(Zip)		

## 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)	Transaction Code (Instr.		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned	Form: Direct (D)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)	Price	Following Reported Transaction(s) (Instr. 3 and 4)	or Indirect (I) (Instr. 4)		
Common Stock								7,378	D		
Common Stock								63,110	I	By John Barth Trust	
Common Stock								47,724	I	By Eileen Barth Trust	
Common Stock								4,761	I	By 401(k) Plan	
Preferred Stock								1,229.045		By 401(k) Plan ESOP	

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/	4. Transa Code (Instr. 8	ction	5. Number Derivative Securities Acquired ( Disposed (D) (Instr. and 5)	of A) or	6. Date Exercisat Expiration Date (I Year)			8. Price of Derivative Security (Instr. 5)  8. Number of Derivative Securities Beneficially Owned Following Reported		Ownership Form of Derivative	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Year)	Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)	(I) (Instr. 4)	
Phantom Stock Units/ LTPP	<u>(1)</u>							( <u>2</u> )	( <u>2</u> )	Common Stock	13,472.48		13,472.48	D	
Phantom Stock Units/ Restricted	(1)							(3)	(3)	Common Stock	25,745.35		25,745.35	D	

Stock Grant												
Phantom Stock Units/ Excess Benefit Plan - Common	(1)				( <u>4</u> )	( <u>4</u> )	Common Stock	3,591.848		3,591.848	D	
Phantom Stock Units/ Excess Benefit Plan - Preferred	(1)				( <u>4</u> )	( <u>4</u> )	Preferred Stock	4,611.264		4,611.264	D	
Stock Option	\$105.1	11/19/2003	<u>A</u>	200,000	11/19/2005 (5)	11/19/2013	Common Stock	200,000	\$105.1	200,000	D	

### **Explanation of Responses:**

- 1. The phantom stock units convert to the common stock's cash value on a one-for-one basis.
- 2. The phantom stock units were accrued under the Johnson Controls Long-Term Performance Plan and are to be settled 100% in cash upon the reporting person's retirement.
- 3. The Phantom stock units were accrued under the Johnson Controls Deferred Restricted Stock Plan and are to be settled 100% in cash upon the reporting person's retirement.
- 4. 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 retirement.
- 5. The options become exercisable two years after the grant date in 50% increments on 11/19/2005 and 11/19/2006.

#### **Signatures**

Arlene D. Gumm, Attorney-in-fact for John M. Barth

\*\* Signature of Reporting Person

11/20/2003

Date

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

- \* 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).

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

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 Number.