

BARNETT ROBERT L
Form 4
December 04, 2002

FORM 4

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

OMB APPROVAL

☐ 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**

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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

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1. Name and Address of Reporting Person*			2. Issuer Name and Ticker or Trading Symbol				6. Relationship of Reporting Person(s) to Issuer (Check all applicable)		
Barnett, Robert L.			Johnson Controls, Inc. / JCI				☒ Director — ☐ 10% Owner — ☐ Officer (give title below) — ☐ Other (specify below) —		
(Last) (First) (Middle)			3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)		4. Statement for Month/Day/Year December 2, 2002		☒ Form filed by One Reporting Person ☐ Form filed by More than One Reporting Person		
5757 N. Green Bay Ave. P.O. Box 591									
(Street)			5. If Amendment, Date of Original (Month/Day/Year)		7. Individual or Joint/Group Filing (Check Applicable Line)		☒ Form filed by One Reporting Person ☐ Form filed by More than One Reporting Person		
Milwaukee, WI 53201-0591									
(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)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 & 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 & 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock							1,472	D	

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).

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FORM 4 (continued) 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)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 & 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s)	10. Ownership Form of Derivative Security: Direct	11. Nature of Indirect Beneficial Ownership (Instr. 4)
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				(Instr. 3, 4 & 5)								(Instr. 4)	(D) or Indirect (1) (Instr. 4)
				Code	V	(A)	(D)	Date Exer-cisable	Expira-tion Date	Title	Amount or Number of Shares		
Phantom Stock Units / Directors' Deferred Compensation Plan	1-for-1							(1)	(1)	Common Stock		22,610 ⁽²⁾	D
Phantom Stock Units / Directors' Retirement Stock Plan	1-for-1	12/2/2002		A		418.56		(3)	(3)	Common Stock	418.56	4,588.59 ⁽⁴⁾	D

Explanation of Responses:

(1) The phantom stock units were accrued under the Johnson Controls Directors' Deferred Compensation Plan and are to be settled 100% in cash upon the reporting person's retirement.

(2) Pursuant to a domestic relations order and Rule 16a-1(a)(2), for purposes of Section 16 of the Securities Exchange Act of 1934, the reporting person disclaims beneficial ownership of 11,789 units of the phantom stock in the Deferred Compensation Plan account.

(3) The phantom stock units were accrued under the Johnson Controls Directors' Retirement Stock Plan and are to be settled 100% in cash upon the reporting person's retirement.

(4) Pursuant to a domestic relations order and Rule 16a-1(a)(2), for purposes of Section 16 of the Securities Exchange Act of 1934, the reporting person disclaims beneficial ownership of 2,075.11 units of the phantom stock in the Directors' Retirement Stock account.

By: /s/ **Arlene D. Gumm**

December 4, 2002

Attorney-In-Fact for Robert L. Barnett

Date

**Signature of Reporting Person

**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.

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POWER OF ATTORNEY

Know all by these presents, that, for good and valuable consideration, the sufficiency and receipt of which is hereby acknowledged, I, the undersigned, do hereby grant, sell, transfer, convey, assign, and confirm unto the undersigned, (1) execute for and on behalf of the undersigned (in accordance with Section 16(a) of the Securities Exchange Act of 1934, the undersigned (2) do and perform any and all acts for and on behalf of the undersigned that may be necessary or proper to carry out the foregoing, and (3) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of the undersigned, is necessary or proper to carry out the foregoing. The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform all of the foregoing and to execute all instruments necessary or proper to carry out the foregoing. This Power of Attorney shall remain in full force and effect until the undersigned is no longer a director or officer of the undersigned. IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 2nd day of December, 2002.

/s/ Robert L. Barnett

Signature

Printed Name: Robert L. Barnett