Edgar Filing: BARNETT ROBERT L - Form 4

BARNETT ROBERT L

Form 4 April 01, 2003

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

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

OMB APPROVAL

OMB Number: 3235-0287 Expires: January 31, 2005 Estimated average burden hours per response. . .0.5

> Filed By Romeo and Dye's Section 16 Filer www.section16.net

1. Name and Address of Reporting Person* Barnett, Robert L.					me and Tic ontrols, Inc		Po	6. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last) (First) (Middle) 5757 N. Green Bay Ave. P.O. Box 591				rting	ntification l g Person, voluntary)	Numbe	Mo	Statement for onth/Day/Year orch 31, 2003	10	X Director			
(Street) Milwaukee, WI 53201-0591							Dat	f Amendment, te of Original onth/Day/Year)	(() <u>X</u> Po	7. 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)	T	able	I Non-I	Derivat	ive Sec	urities Acquired,	Dispose	ed of, or Bene	ficially Owned		
1. Title of Security (Instr. 3)	2. Trans-	action Execution			4. Securities Acquire (A) or Disposed of (I (Instr. 3, 4 & 5)			5. Amount of Securities Beneficially		6. Owner- ship Form: Direct (D)	7. Nature of Indirect Beneficial		
	(Month/ Day/ Year)	if any (Month/Day/ Year)	Code	V	Amount	(A) or (D)	Price	Owned Following Reported Transactions(s) (Instr. 3 & 4)		or Indirect (I) (Instr. 4)	Ownership (Instr. 4)		
Common Stock									1,472	D			

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

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 control number

FORM 4 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially **Owned**

(e.g. nuts calls warrants ontions convertible securities)

(e.g., puts, cans, warrants, options, convertible securities)													
1. Title of	2. Conver-	3. Trans-	3A.	4.	5.	6. Date Exercisable	7. Title and	8. Price of	9. Number of	10.	11. Nat		
Derivative	sion or	action	Deemed	Trans-	Number	and Expiration	Amount of	Derivative	Derivative	Owner-	of India		
Security	Exercise	Date	Execution	action	of	Date	Underlying	Security	Securities	ship	Benefic		
	Price of		Date,	Code	Derivati	(Month/Day/	Securities	(Instr. 5)	Beneficially	Form	Owners		
(Instr. 3)	Derivative	(Month/	if any		Securitie	Y ear)	(Instr. 3 & 4)		Owned	of Deriv-	(Instr. 4		
	Security	Day/	(Month/	(Instr.	Acquire	d			Following	ative			
		Year)	Day/	8)	(A) or				Reported	Security:			
			Year)		Dispose	1			Transaction(s)	Direct			

^{*} If the form is filed by more than one reporting person, see Instruction 4(b)(v).

Edgar Filing: BARNETT ROBERT L - Form 4

				of (Inst	tr.						,	(D) or Indirect (I) (Instr. 4)	
			Code V	(A)		Exer-cisable	Expira- tion Date		Amount or Number of Shares				
Phantom Stock Units / Directors' Deferred Compensation Plan	1-for-1	3/31/2003	A	450		(1)		Common Stock	450	72.44	23,627(2)	D	
Phantom Stock Units / Directors' Retirement Stock Plan	1-for-1					(3)	_	Common Stock	4631.63		4631.63(4)(5)	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 11,899 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 2,094.57 units of the phantom stock in the Directors' Retirement Stock account.
- (5) Includes 22.91 phantom stock unit acquired pursuant to dividend reinvestment on March 31, 2003, at a price of \$72.44 per phantom stock unit.

By: /s/ Arlene D. Gumm
Attorney-In-Fact for Robert L. Barnett

**Signature of Reporting Person

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.

^{**}Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).