# Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6047(e), and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

**2009**

**This Form is Open to Public Inspection**

## Part I Annual Report Identification Information

For calendar plan year 2009 or fiscal plan year beginning 01/01/2009 and ending 12/31/2009

**A** This return/report is for:
- [ ] a multiemployer plan;
- [ ] a multiple-employer plan; or
- [X] a single-employer plan;
- [ ] a DFE (specify) ____

**B** This return/report is:
- [ ] the first return/report;
- [ ] the final return/report;
- [ ] an amended return/report;
- [ ] a short plan year return/report (less than 12 months).

**C** If the plan is a collectively-bargained plan, check here. . . . . ▶ [X]

**D** Check box if filing under:
- [X] Form 5558;
- [ ] automatic extension;
- [ ] the DFVC program;
- [ ] special extension (enter description)

## Part II Basic Plan Information—enter all requested information

**1a** Name of plan
JOHNSON CTRLS PLAN BATTERY DIV. OWOSSO UAW EES

**1b** Three-digit plan number (PN) ▶ 017

**1c** Effective date of plan 06/30/1972

**2a** Plan sponsor's name and address (employer, if for a single-employer plan)
(Address should include room or suite no.)
JOHNSON CONTROLS, INC

5757 NORTH GREEN BAY AVENUE
MILWAUKEE, WI 53209-4408

**2b** Employer Identification Number (EIN)
39-1684871

**2c** Sponsor's telephone number
414-524-1200

**2d** Business code (see instructions)
336300

**Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.**

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

| | | | |
|---|---|---|---|
| **SIGN HERE** | Filed with authorized/valid electronic signature. | 10/12/2010 | SHERRY WEINBERG |
| | **Signature of plan administrator** | Date | Enter name of individual signing as plan administrator |
| **SIGN HERE** | Filed with authorized/valid electronic signature. | 10/12/2010 | SHERRY WEINBERG |
| | **Signature of employer/plan sponsor** | Date | Enter name of individual signing as employer or plan sponsor |
| **SIGN HERE** | | | |
| | **Signature of DFE** | Date | Enter name of individual signing as DFE |

**3a** Plan administrator's name and address (if same as plan sponsor, enter "Same")
EMPLOYEE BENEFITS POLICY COMMITTEE

5757 N. GREEN BAY AVENUE
MILWAUKEE, WI 53209-4408

**3b** Administrator's EIN
38-3406010

**3c** Administrator's telephone number
414-524-1200

**4** If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the name, EIN and the plan number from the last return/report:

**a** Sponsor's name

**4b** EIN

**4c** PN

| | | | |
|---|---|---|---|
| **5** | Total number of participants at the beginning of the plan year | **5** | 4957 |
| **6** | Number of participants as of the end of the plan year (welfare plans complete only lines **6a, 6b, 6c,** and **6d**). | | |
| **a** | Active participants | **6a** | 219 |
| **b** | Retired or separated participants receiving benefits | **6b** | 1973 |
| **c** | Other retired or separated participants entitled to future benefits | **6c** | 2316 |
| **d** | Subtotal. Add lines **6a**, **6b**, and **6c** | **6d** | 4508 |
| **e** | Deceased participants whose beneficiaries are receiving or are entitled to receive benefits | **6e** | 301 |
| **f** | Total. Add lines **6d** and **6e** | **6f** | 4809 |
| **g** | Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) | **6g** | |
| **h** | Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested | **6h** | 5 |
| **7** | Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) | **7** | |

**8a** If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions:
1B 1G 3D 3H

**b** If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristic Codes in the instructions:

**9a** Plan funding arrangement (check all that apply)

| | | |
|---|---|---|
| **(1)** | | Insurance |
| **(2)** | | Code section 412(e)(3) insurance contracts |
| **(3)** | X | Trust |
| **(4)** | | General assets of the sponsor |

**9b** Plan benefit arrangement (check all that apply)

| | | |
|---|---|---|
| **(1)** | | Insurance |
| **(2)** | | Code section 412(e)(3) insurance contracts |
| **(3)** | X | Trust |
| **(4)** | | General assets of the sponsor |

**10** Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

**a Pension Schedules**

| | | |
|---|---|---|
| **(1)** | X | **R** (Retirement Plan Information) |
| **(2)** | | **MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary |
| **(3)** | X | **SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary |

**b General Schedules**

| | | |
|---|---|---|
| **(1)** | X | **H** (Financial Information) |
| **(2)** | | **I** (Financial Information – Small Plan) |
| **(3)** | | ___ **A** (Insurance Information) |
| **(4)** | X | **C** (Service Provider Information) |
| **(5)** | X | **D** (DFE/Participating Plan Information) |
| **(6)** | | **G** (Financial Transaction Schedules) |

# SCHEDULE SB (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

# Single-Employer Defined Benefit Plan Actuarial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500 or 5500-SF.**

OMB No. 1210-0110

**2009**

**This Form is Open to Public Inspection**

For calendar plan year 2009 or fiscal plan year beginning 01/01/2009 and ending 12/31/2009

▶ **Round off amounts to nearest dollar.**

▶ **Caution:** A penalty of $1,000 will be assessed for late filing of this report unless reasonable cause is established.

**A** Name of plan
JOHNSON CTRLS PLAN BATTERY DIV. OWOSSO UAW EES

**B** Three-digit plan number (PN) ▶ 017

**C** Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF
JOHNSON CONTROLS, INC

**D** Employer Identification Number (EIN)
39-1684871

**E** Type of plan: [X] Single [ ] Multiple-A [ ] Multiple-B

**F** Prior year plan size: [ ] 100 or fewer [ ] 101-500 [ ] More than 500

## Part I Basic Information

| | | | | |
|---|---|---|---|---|
| **1** | Enter the valuation date: Month 01 Day 01 Year 2009 | | | |
| **2** | Assets: | | | |
| | **a** Market value | **2a** | | 90440493 |
| | **b** Actuarial value | **2b** | | 99484542 |
| **3** | Funding target/participant count breakdown | | **(1)** Number of participants | **(2)** Funding Target |
| | **a** For retired participants and beneficiaries receiving payment | **3a** | 2257 | 52271313 |
| | **b** For terminated vested participants | **3b** | 2469 | 25652024 |
| | **c** For active participants: | | | |
| | **(1)** Non-vested benefits | **3c(1)** | | 123827 |
| | **(2)** Vested benefits | **3c(2)** | | 1204637 |
| | **(3)** Total active | **3c(3)** | 231 | 1328464 |
| | **d** Total | **3d** | 4957 | 79251801 |
| **4** | If the plan is at-risk, check the box and complete items (a) and (b) [ ] | | | |
| | **a** Funding target disregarding prescribed at-risk assumptions | **4a** | | |
| | **b** Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been at-risk for fewer than five consecutive years and disregarding loading factor | **4b** | | |
| **5** | Effective interest rate | **5** | | 8.14 % |
| **6** | Target normal cost | **6** | | 567459 |

**Statement by Enrolled Actuary**

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

**SIGN HERE**

09/21/2010
Signature of actuary — Date

MARK K. FRIEDMAN
Type or print name of actuary — Most recent enrollment number

HEWITT ASSOCIATES LLC — 847-295-5000
Firm name — Telephone number (including area code)

100 HALF DAY ROAD
LINCOLNSHIRE, IL 60069
Address of the firm

If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions [ ]

## Part II Beginning of year carryover and prefunding balances

| | | (a) Carryover balance | (b) Prefunding balance |
|---|---|---|---|
| 7 | Balance at beginning of prior year after applicable adjustments (Item 13 from prior year) | 17610233 | |
| 8 | Portion used to offset prior year's funding requirement (Item 35 from prior year) | 211262 | |
| 9 | Amount remaining (Item 7 minus item 8) | 17398971 | |
| 10 | Interest on item 9 using prior year's actual return of -11.45 % | -2369292 | |
| 11 | Prior year's excess contributions to be added to prefunding balance: | | |
| | a Excess contributions (Item 38 from prior year) | | 171831 |
| | b Interest on (a) using prior year's effective rate of 6.04 % | | 10447 |
| | c Total available at beginning of current plan year to add to prefunding balance | | 182278 |
| | d Portion of (c) to be added to prefunding balance | | 182278 |
| 12 | Reduction in balances due to elections or deemed elections | | |
| 13 | Balance at beginning of current year (item 9 + item 10 + item 11d – item 12) | 15029679 | 182278 |

## Part III Funding percentages

| | | | |
|---|---|---|---|
| 14 | Funding target attainment percentage | 14 | 106.34 % |
| 15 | Adjusted funding target attainment percentage | 15 | 125.52 % |
| 16 | Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement | 16 | 112.58 % |
| 17 | If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage | 17 | % |

## Part IV Contributions and liquidity shortfalls

18 Contributions made to the plan for the plan year by employer(s) and employees:

| (a) Date (MM-DD-YYYY) | (b) Amount paid by employer(s) | (c) Amount paid by employees | (a) Date (MM-DD-YYYY) | (b) Amount paid by employer(s) | (c) Amount paid by employees |
|---|---|---|---|---|---|
| 04/15/2009 | 100000 | | | | |
| 07/15/2009 | 100000 | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | Totals ► 18(b) | 200000 | 18(c) |

| | | | |
|---|---|---|---|
| 19 | Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year: | | |
| | a Contributions allocated toward unpaid minimum required contribution from prior years. | 19a | |
| | b Contributions made to avoid restrictions adjusted to valuation date | 19b | |
| | c Contributions allocated toward minimum required contribution for current year adjusted to valuation date | 19c | 193700 |

20 Quarterly contributions and liquidity shortfalls:

a Did the plan have a "funding shortfall" for the prior year? [X] Yes [ ] No

b If 20a is "Yes," were required quarterly installments for the current year made in a timely manner? [X] Yes [ ] No

c If 20a is "Yes," see instructions and complete the following table as applicable:

Liquidity shortfall as of end of Quarter of this plan year

| (1) 1st | (2) 2nd | (3) 3rd | (4) 4th |
|---|---|---|---|
| | | | |

## Part V Assumptions used to determine funding target and target normal cost

**21** Discount rate:

**a** Segment rates:

| 1st segment: % | 2nd segment: % | 3rd segment: % | [X] N/A, full yield curve used |
|---|---|---|---|
| | | | |

**b** Applicable month (enter code) ..... **21b**

| | | |
|---|---|---|
| **22** Weighted average retirement age ..... | **22** | 65 |

**23** Mortality table(s) (see instructions) [ ] Prescribed - combined [X] Prescribed - separate [ ] Substitute

## Part VI Miscellaneous items

| | | |
|---|---|---|
| **24** Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment. ..... | [ ] Yes | [X] No |
| **25** Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment. ..... | [X] Yes | [ ] No |
| **26** Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment ..... | [X] Yes | [ ] No |

| | | |
|---|---|---|
| **27** If the plan is eligible for (and is using) alternative funding rules, enter applicable code and see instructions regarding attachment ..... | **27** | |

## Part VII Reconciliation of unpaid minimum required contributions for prior years

| | | |
|---|---|---|
| **28** Unpaid minimum required contribution for all prior years ..... | **28** | |
| **29** Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (item 19a) ..... | **29** | |
| **30** Remaining amount of unpaid minimum required contributions (item 28 minus item 29) ..... | **30** | 0 |

## Part VIII Minimum required contribution for current year

| | | |
|---|---|---|
| **31** Target normal cost, adjusted, if applicable (see instructions) ..... | **31** | |

| **32** Amortization installments: | Outstanding Balance | Installment |
|---|---|---|
| **a** Net shortfall amortization installment ..... | | |
| **b** Waiver amortization installment ..... | | |

| | | |
|---|---|---|
| **33** If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____ ) and the waived amount ..... | **33** | |
| **34** Total funding requirement before reflecting carryover/prefunding balances (item 31 + item 32a + item 32b – item 33) ..... | **34** | |

| | Carryover balance | Prefunding balance | Total balance |
|---|---|---|---|
| **35** Balances used to offset funding requirement ..... | | | |

| | | |
|---|---|---|
| **36** Additional cash requirement (item 34 minus item 35) ..... | **36** | |
| **37** Contributions allocated toward minimum required contribution for current year adjusted to valuation date (Item 19c) ..... | **37** | 193700 |
| **38** Interest-adjusted excess contributions for current year (see instructions) ..... | **38** | 193700 |
| **39** Unpaid minimum required contribution for current year (excess, if any, of item 36 over item 37) ..... | **39** | |
| **40** Unpaid minimum required contribution for all years ..... | **40** | |

| SCHEDULE C (Form 5500) | Service Provider Information | OMB No. 1210-0110 |
|---|---|---|
| Department of the Treasury<br>Internal Revenue Service<br>Department of Labor<br>Employee Benefits Security Administration<br>Pension Benefit Guaranty Corporation | This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br>▶ **File as an attachment to Form 5500.** | **2009**<br>**This Form is Open to Public Inspection.** |

For calendar plan year 2009 or fiscal plan year beginning 01/01/2009 and ending 12/31/2009

**A** Name of plan
JOHNSON CTRLS PLAN BATTERY DIV. OWOSSO UAW EES

**B** Three-digit plan number (PN) ▶ 017

**C** Plan sponsor's name as shown on line 2a of Form 5500
JOHNSON CONTROLS, INC

**D** Employer Identification Number (EIN)
39-1684871

## Part I Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

### 1 Information on Persons Receiving Only Eligible Indirect Compensation

**a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. . . . . ☐ Yes ☐ No

**b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosure on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**(b)** Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

**2. Information on Other Service Providers Receiving Direct or Indirect Compensation.** Except for those persons for whom you answered "yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

**(a)** Enter name and EIN or address (see instructions)

HEWITT ASSOCIATES, LLC

36-2235791

| (b) Service Code(s) | (c) Relationship to employer, employee organization, or person known to be a party-in-interest | (d) Enter direct compensation paid by the plan. If none, enter -0-. | (e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h) Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| 11 | ACTUARY | 300539 | Yes [ ] No [X] | Yes [X] No [ ] | | Yes [ ] No [ ] |

**(a)** Enter name and EIN or address (see instructions)

| (b) Service Code(s) | (c) Relationship to employer, employee organization, or person known to be a party-in-interest | (d) Enter direct compensation paid by the plan. If none, enter -0-. | (e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h) Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes [ ] No [ ] | Yes [ ] No [ ] | | Yes [ ] No [ ] |

**(a)** Enter name and EIN or address (see instructions)

| (b) Service Code(s) | (c) Relationship to employer, employee organization, or person known to be a party-in-interest | (d) Enter direct compensation paid by the plan. If none, enter -0-. | (e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h) Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes [ ] No [ ] | Yes [ ] No [ ] | | Yes [ ] No [ ] |

**(a)** Enter name and EIN or address (see instructions)

| **(b)** Service Code(s) | **(c)** Relationship to employer, employee organization, or person known to be a party-in-interest | **(d)** Enter direct compensation paid by the plan. If none, enter -0-. | **(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | **(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | **(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | **(h)** Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes ☐ No ☐ | Yes ☐ No ☐ | | Yes ☐ No ☐ |

**(a)** Enter name and EIN or address (see instructions)

| **(b)** Service Code(s) | **(c)** Relationship to employer, employee organization, or person known to be a party-in-interest | **(d)** Enter direct compensation paid by the plan. If none, enter -0-. | **(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | **(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | **(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | **(h)** Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes ☐ No ☐ | Yes ☐ No ☐ | | Yes ☐ No ☐ |

**(a)** Enter name and EIN or address (see instructions)

| **(b)** Service Code(s) | **(c)** Relationship to employer, employee organization, or person known to be a party-in-interest | **(d)** Enter direct compensation paid by the plan. If none, enter -0-. | **(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | **(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | **(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | **(h)** Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| | | | Yes ☐ No ☐ | Yes ☐ No ☐ | | Yes ☐ No ☐ |

## Part I Service Provider Information (continued)

**3** If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(d)** Enter name and EIN (address) of source of indirect compensation | **(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. | |
| | | |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(d)** Enter name and EIN (address) of source of indirect compensation | **(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. | |
| | | |

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| | | |
| **(d)** Enter name and EIN (address) of source of indirect compensation | **(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. | |
| | | |

## Part II Service Providers Who Fail or Refuse to Provide Information

**4** Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

| **(a)** Enter name and EIN or address of service provider (see instructions) | **(b)** Nature of Service Code(s) | **(c)** Describe the information that the service provider failed or refused to provide |
|---|---|---|
| | | |

## Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)

(complete as many entries as needed)

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN: |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN; |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

| | |
|---|---|
| **a** Name: | **b** EIN; |
| **c** Position: | |
| **d** Address: | **e** Telephone: |

Explanation:

# SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

# DFE/Participating Plan Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

**2009**

**This Form is Open to Public Inspection.**

For calendar plan year 2009 or fiscal plan year beginning 01/01/2009 and ending 12/31/2009

**A** Name of plan
JOHNSON CTRLS PLAN BATTERY DIV. OWOSSO UAW EES

**B** Three-digit plan number (PN) ▶ 017

**C** Plan or DFE sponsor's name as shown on line 2a of Form 5500
JOHNSON CONTROLS, INC

**D** Employer Identification Number (EIN)
39-1684871

## Part I Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs)

(Complete as many entries as needed to report all interests in DFEs)

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JOHNSON CTRLS MASTER PENSION TRUST

**b** Name of sponsor of entity listed in (a): JOHNSON CONTROLS, INC.

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 39-0380010-024 | M | 129508465 |

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| | | |

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| | | |

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| | | |

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| | | |

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| | | |

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

**a** Name of MTIA, CCT, PSA, or 103-12 IE:

**b** Name of sponsor of entity listed in (a):

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|

## Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

**a** Plan name

| **b** Name of plan sponsor | **c** EIN-PN |
|---|---|

# SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

# Financial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

**2009**

**This Form is Open to Public Inspection**

For calendar plan year 2009 or fiscal plan year beginning 01/01/2009 and ending 12/31/2009

**A** Name of plan
JOHNSON CTRLS PLAN BATTERY DIV. OWOSSO UAW EES

**B** Three-digit plan number (PN) ▶ 017

**C** Plan sponsor's name as shown on line 2a of Form 5500
JOHNSON CONTROLS, INC

**D** Employer Identification Number (EIN)
39-1684871

## Part I Asset and Liability Statement

**1** Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

| Assets | | (a) Beginning of Year | (b) End of Year |
|---|---|---|---|
| **a** Total noninterest-bearing cash | 1a | | |
| **b** Receivables (less allowance for doubtful accounts): | | | |
| **(1)** Employer contributions | 1b(1) | | 13560000 |
| **(2)** Participant contributions | 1b(2) | | |
| **(3)** Other | 1b(3) | 749 | 14020 |
| **c** General investments: | | | |
| **(1)** Interest-bearing cash (include money market accounts & certificates of deposit) | 1c(1) | | |
| **(2)** U.S. Government securities | 1c(2) | | |
| **(3)** Corporate debt instruments (other than employer securities): | | | |
| **(A)** Preferred | 1c(3)(A) | | |
| **(B)** All other | 1c(3)(B) | | |
| **(4)** Corporate stocks (other than employer securities): | | | |
| **(A)** Preferred | 1c(4)(A) | | |
| **(B)** Common | 1c(4)(B) | | |
| **(5)** Partnership/joint venture interests | 1c(5) | | |
| **(6)** Real estate (other than employer real property) | 1c(6) | | |
| **(7)** Loans (other than to participants) | 1c(7) | | |
| **(8)** Participant loans | 1c(8) | | |
| **(9)** Value of interest in common/collective trusts | 1c(9) | | |
| **(10)** Value of interest in pooled separate accounts | 1c(10) | | |
| **(11)** Value of interest in master trust investment accounts | 1c(11) | 90584037 | 129508465 |
| **(12)** Value of interest in 103-12 investment entities | 1c(12) | | |
| **(13)** Value of interest in registered investment companies (e.g., mutual funds) | 1c(13) | | |
| **(14)** Value of funds held in insurance company general account (unallocated contracts) | 1c(14) | | |
| **(15)** Other | 1c(15) | | |

| | | | (a) Beginning of Year | (b) End of Year |
|---|---|---|---|---|
| **1d** | Employer-related investments: | | | |
| | **(1)** Employer securities | 1d(1) | | |
| | **(2)** Employer real property | 1d(2) | | |
| **e** | Buildings and other property used in plan operation | 1e | | |
| **f** | Total assets (add all amounts in lines 1a through 1e) | 1f | 90584786 | 143082485 |
| | **Liabilities** | | | |
| **g** | Benefit claims payable | 1g | | |
| **h** | Operating payables | 1h | 144293 | 57951 |
| **i** | Acquisition indebtedness | 1i | | |
| **j** | Other liabilities | 1j | | |
| **k** | Total liabilities (add all amounts in lines 1g through1j) | 1k | 144293 | 57951 |
| | **Net Assets** | | | |
| **l** | Net assets (subtract line 1k from line 1f) | 1l | 90440493 | 143024534 |

## Part II Income and Expense Statement

**2** Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

| | Income | | (a) Amount | (b) Total |
|---|---|---|---|---|
| **a** | **Contributions:** | | | |
| | **(1)** Received or receivable in cash from: **(A)** Employers | 2a(1)(A) | 13760000 | |
| | **(B)** Participants | 2a(1)(B) | | |
| | **(C)** Others (including rollovers) | 2a(1)(C) | | |
| | **(2)** Noncash contributions | 2a(2) | | |
| | **(3)** Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)** | 2a(3) | | 13760000 |
| **b** | **Earnings on investments:** | | | |
| | **(1)** Interest: | | | |
| | **(A)** Interest-bearing cash (including money market accounts and certificates of deposit) | 2b(1)(A) | | |
| | **(B)** U.S. Government securities | 2b(1)(B) | | |
| | **(C)** Corporate debt instruments | 2b(1)(C) | | |
| | **(D)** Loans (other than to participants) | 2b(1)(D) | | |
| | **(E)** Participant loans | 2b(1)(E) | | |
| | **(F)** Other | 2b(1)(F) | | |
| | **(G)** Total interest. Add lines **2b(1)(A)** through **(F)** | 2b(1)(G) | | |
| | **(2)** Dividends: **(A)** Preferred stock | 2b(2)(A) | | |
| | **(B)** Common stock | 2b(2)(B) | | |
| | **(C)** Registered investment company shares (e.g. mutual funds) | 2b(2)(C) | | |
| | **(D)** Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)** | 2b(2)(D) | | |
| | **(3)** Rents | 2b(3) | | |
| | **(4)** Net gain (loss) on sale of assets: **(A)** Aggregate proceeds | 2b(4)(A) | | |
| | **(B)** Aggregate carrying amount (see instructions) | 2b(4)(B) | | |
| | **(C)** Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result | 2b(4)(C) | | |

| | | (a) Amount | (b) Total |
|---|---|---|---|
| 2b (5) Unrealized appreciation (depreciation) of assets: (A) Real estate | 2b(5)(A) | | |
| (B) Other | 2b(5)(B) | | |
| (C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B) | 2b(5)(C) | | |
| (6) Net investment gain (loss) from common/collective trusts | 2b(6) | | |
| (7) Net investment gain (loss) from pooled separate accounts | 2b(7) | | |
| (8) Net investment gain (loss) from master trust investment accounts | 2b(8) | | 12800571 |
| (9) Net investment gain (loss) from 103-12 investment entities | 2b(9) | | |
| (10) Net investment gain (loss) from registered investment companies (e.g., mutual funds) | 2b(10) | | |
| c Other income | 2c | | |
| d Total income. Add all **income** amounts in column (b) and enter total | 2d | | 26560571 |
| **Expenses** | | | |
| e Benefit payment and payments to provide benefits: | | | |
| (1) Directly to participants or beneficiaries, including direct rollovers | 2e(1) | 6661257 | |
| (2) To insurance carriers for the provision of benefits | 2e(2) | | |
| (3) Other | 2e(3) | | |
| (4) Total benefit payments. Add lines 2e(1) through (3) | 2e(4) | | 6661257 |
| f Corrective distributions (see instructions) | 2f | | |
| g Certain deemed distributions of participant loans (see instructions) | 2g | | |
| h Interest expense | 2h | | |
| i Administrative expenses: (1) Professional fees | 2i(1) | 300539 | |
| (2) Contract administrator fees | 2i(2) | | |
| (3) Investment advisory and management fees | 2i(3) | | |
| (4) Other | 2i(4) | 173094 | |
| (5) Total administrative expenses. Add lines 2i(1) through (4) | 2i(5) | | 473633 |
| j Total expenses. Add all **expense** amounts in column (b) and enter total | 2j | | 7134890 |
| **Net Income and Reconciliation** | | | |
| k Net income (loss). Subtract line 2j from line 2d | 2k | | 19425681 |
| l Transfers of assets: | | | |
| (1) To this plan | 2l(1) | | 33158360 |
| (2) From this plan | 2l(2) | | |

## Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) [ ] Unqualified (2) [ ] Qualified (3) [X] Disclaimer (4) [ ] Adverse

b Did the accountant perform a limited scope audit pursuant to 29 CFR 2520.103-8 and/or 103-12(d)? [X] Yes [ ] No

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: COLEMEN & WILLIAMS, LTD (2) EIN: 39-1658905

d The opinion of an independent qualified public accountant is **not attached** because:

(1) [ ] This form is filed for a CCT, PSA, or MTIA. (2) [ ] It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

## Part IV Compliance Questions

**4** CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete 4j and 4l. MTIAs also do not complete 4l.

During the plan year:

| | | Yes | No | Amount |
|---|---|---|---|---|
| **a** | Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.) | 4a | | X | |
| **b** | Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.) | 4b | | X | |
| **c** | Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.) | 4c | | X | |
| **d** | Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.) | 4d | | X | |
| **e** | Was this plan covered by a fidelity bond? | 4e | X | | 20000000 |
| **f** | Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? | 4f | | X | |
| **g** | Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser? | 4g | | X | |
| **h** | Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser? | 4h | | X | |
| **i** | Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.) | 4i | X | | |
| **j** | Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.) | 4j | | X | |
| **k** | Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? | 4k | | X | |
| **l** | Has the plan failed to provide any benefit when due under the plan? | 4l | | X | |
| **m** | If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.) | 4m | | X | |
| **n** | If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3. | 4n | | X | |

**5a** Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? If yes, enter the amount of any plan assets that reverted to the employer this year ☐ **Yes** ☒ **No** **Amount:**

**5b** If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

| **5b(1)** Name of plan(s) | **5b(2)** EIN(s) | **5b(3)** PN(s) |
|---|---|---|
| | | |
| | | |
| | | |
| | | |

# SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

# Retirement Plan Information

This schedule is required to be filed under section 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

**2009**

**This Form is Open to Public Inspection.**

For calendar plan year 2009 or fiscal plan year beginning 01/01/2009 and ending 12/31/2009

**A** Name of plan
JOHNSON CTRLS PLAN BATTERY DIV. OWOSSO UAW EES

**B** Three-digit plan number (PN) ▶ 017

**C** Plan sponsor's name as shown on line 2a of Form 5500
JOHNSON CONTROLS, INC

**D** Employer Identification Number (EIN)
39-1684871

## Part I Distributions

**All references to distributions relate only to payments of benefits during the plan year.**

**1** Total value of distributions paid in property other than in cash or the forms of property specified in the instructions ..... **1**

**2** Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):

EIN(s): _____ _____

**Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.**

**3** Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year ..... **3** 15

## Part II Funding Information (If the plan is not subject to the minimum funding requirements of section of 412 of the Internal Revenue Code or ERISA section 302, skip this Part)

**4** Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☒ **No** ☐ **N/A**

**If the plan is a defined benefit plan, go to line 8.**

**5** If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____

**If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.**

**6 a** Enter the minimum required contribution for this plan year ..... **6a**

**b** Enter the amount contributed by the employer to the plan for this plan year ..... **6b**

**c** Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) ..... **6c**

**If you completed line 6c, skip lines 8 and 9.**

**7** Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

**8** If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ..... ☐ **Yes** ☐ **No** ☒ **N/A**

## Part III Amendments

**9** If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box(es). If no, check the "No" box. ..... ☐ **Increase** ☒ **Decrease** ☐ **Both** ☐ **No**

## Part IV ESOPs (see instructions). If this is not a plan described under Section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.

**10** Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

**11 a** Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

**b** If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ..... ☐ **Yes** ☐ **No**

**12** Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **No**

## Part V Additional Information for Multiemployer Defined Benefit Pension Plans

**13** Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

**a** Name of contributing employer

**b** EIN **c** Dollar amount contributed by employer

**d** Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

**e** Contribution rate information *(If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete items 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

**14** Enter the number of participants on whose behalf no contributions were made by an employer as an employer of the participant for:

| | | |
|---|---|---|
| **a** The current year | **14a** | |
| **b** The plan year immediately preceding the current plan year | **14b** | |
| **c** The second preceding plan year | **14c** | |

**15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

| | | |
|---|---|---|
| **a** The corresponding number for the plan year immediately preceding the current plan year | **15a** | |
| **b** The corresponding number for the second preceding plan year | **15b** | |

**16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

| | | |
|---|---|---|
| **a** Enter the number of employers who withdrew during the preceding plan year | **16a** | |
| **b** If item 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers | **16b** | |

**17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

## Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

**18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment ☐

**19** If the total number of participants is 1,000 or more, complete items (a) through (c)

**a** Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

**b** Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

**c** What duration measure was used to calculate item 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

**COLEMAN & WILLIAMS, LTD.**
*A Professional Services Firm*

# INDEPENDENT AUDITORS' REPORT

To the Participants and Administrator of the
Johnson Controls, Inc. Pension Plans:

We were engaged to audit the accompanying statements of net assets available for benefits of the Johnson Controls, Inc. Pension Plans (the "Plans" as defined in note 1) as of December 31, 2009 and 2008, and the related statement of changes in net assets available for benefits for the year ended December 31, 2009 and the supplemental schedules as listed in the table of contents. These financial statements and supplemental schedules are the responsibility of the Plans' management.

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended, the Plans' administrator instructed us not to perform, and we did not perform any auditing procedures with respect to the information summarized in Note 11 as of and for the years ended December 31, 2009 and 2008, which was certified by U.S. Bank, N.A., the "Trustee" of the Plans, except for comparing such information with the related information included in the financial statements and supplemental schedules. We have been informed by the Plans' administrator that the Trustee holds the Plans' investment assets and executes investment transactions. The Plans' administrator obtained certifications from the Trustee as of December 31, 2009 and 2008 and for the year ended December 31, 2009 that the information provided to the Plans' administrator by the Trustee is complete and accurate.

Because of the significance of the information that we did not audit, we are unable to and do not express an opinion on the accompanying financial statements taken as a whole. The form and content of the information included in the financial statements and supplemental schedules, other than that derived from the information certified by the Trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended.

Coleman & Williams, Ltd.

Milwaukee, Wisconsin
September 15, 2010

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

# Schedule SB Attachment (Form 5500)—2009 Plan Year
# Battery Division/ Owosso, U.A.W.
# EIN: 39-1684871 PN: 017

## Schedule SB, Part V—Summary of Plan Provisions

| | |
|---|---|
| Effective Date | June 30, 1972. |
| Status of the Plan | The plan only covers inactive participants and participants who have transferred out of the plan. |
| Participation | Immediate. |

**Deferred Vested Retirement**

| Group | Eligibility | Benefit |
|---|---|---|
| Legacy Owosso | Five years of Vesting Service | Accrued benefit reduced 5/9% per month from age 65 to age 55 |
| SSD Lexington | Five years of Vesting Service | Accrued benefit reduced 1/2% per month from age 65 to age 55 |
| SSD Milwaukee | Five years of Vesting Service | Accrued benefit reduced 1/2% per month from age 65 to age 55 |
| SSD Poteau | Five years of Vesting Service | Accrued benefit reduced 1/2% per month from age 65 to age 55 |
| ASG Metal Seating | Five years of Vesting Service | Accrued benefit reduced 6/10% per month from age 65, 4/10% per month from age 59 |
| ASG Shreveport | Five years of Vesting Service | Accrued benefit reduced 5/9% per month from age 65 to age 60 |
| ASG Whitmore Lake | Five years of Vesting Service | Projected benefit, prorated and reduced 6/10% per month from age 65 to age 55 |
| EPD Erie | Five years of Vesting Service | Accrued benefit reduced 5/9% per month from age 65 to age 55 |
| Mt. Pleasant | Five years of Vesting Service | Accrued benefit reduced 5/9% per month from age 65 to age 60 |
| Tool Room | Five years of Vesting Service | Accrued benefit reduced 6/10% per month from age 65 to age 60 |

**Deferred Vested Retirement**

| Group | Eligibility | Benefit |
|---|---|---|
| Goshen | Five years of Vesting Service | Accrued benefit reduced actuarially from age 65 |
| Watertown | Five years of Vesting Service | Accrued benefit reduced 5% per year from age 65 to age 55 |
| Mt. Clemens | Five years of Vesting Service | Accrued benefit reduced 5/9% per month from age 65 to age 60 |
| Port Street | Five years of Vesting Service | Accrued benefit payable at age 65 |
| Oberlin | Five years of Vesting Service | Accrued benefit reduced 0.55% per month from age 65 to age 60 |
| Johns Creek | Five years of Vesting Service | Accrued benefit reduced 0.55% per month from age 65 to age 60 |
| Elyria | Five years of Vesting Service | Accrued benefit reduced 0.5% per month from age 65 to age 60 |
| Madisonville | Five years of Vesting Service | Accrued benefit reduced 0.6% per month from age 65 to age 60 |
| Medina | Five years of Vesting Service | Accrued benefit reduced 0.5% per month from age 65 to age 60 |
| Miller-Picking | Five years of Vesting Service | Accrued benefit reduced 0.5% per month from age 65 to age 60 |

**Preretirement Death Benefit**

| Group | Eligibility | Benefit |
|---|---|---|
| Legacy Owosso | Five years of Vesting Service | Standard 55% REA benefit |
| SSD Lexington | Five years of Vesting Service | Standard 50% REA benefit |
| SSD Milwaukee | Five years of Vesting Service | 75% of accrued benefit payable on date employee would have been eligible for early retirement (paid for by employee) |
| SSD Poteau | Five years of Vesting Service | Standard 50% REA benefit |
| ASG Metal Seating | Five years of Vesting Service | Standard 50% (55% if age 57 or age 55 with 85 points) REA benefit (paid for by the employee if not yet age 57 or age 55 with 85 points) |
| ASG Shreveport | Five years of Vesting Service | Standard 50% REA benefit (paid for by employee) |
| ASG Whitmore Lake | Five years of Vesting Service | Standard 50% (55% if age 55) REA benefit |
| EPD Erie | Five years of Vesting Service | Standard 50% REA benefit |
| Mt. Pleasant | Five years of Vesting Service | Standard 55% REA benefit |
| Tool Room | Five years of Vesting Service | Standard 50% REA benefit |
| Goshen | Five years of Vesting Service | Standard 50% REA benefit |
| Watertown | Five years of Vesting Service | Standard 50% REA benefit |
| Mt. Clemens | Five years of Vesting Service | Standard 50% REA benefit |
| Port Street | Five years of Vesting Service | Standard 55% of REA benefit |
| Oberlin | Five years of Vesting Service | Standard 55% of REA benefit |
| Johns Creek | Five years of Vesting Service | Standard 55% of REA benefit |

**Preretirement Death Benefit**

| Group | Eligibility | Benefit |
|---|---|---|
| Elyria | Five years of Vesting Service | Standard 50% REA benefit |
| Madisonville | Five years of Vesting Service | 66 2/3% of 95% of accrued benefit payable on date employee would have been eligible for early retirement |
| Medina | Five years of Vesting Service | Standard 50% REA benefit |
| Miller-Picking | Five years of Vesting Service | Standard 50% REA benefit |

Optional Form Conversion[1]

Interest Rate: 6%

Mortality: 1971 Group Annuity Mortality Table Weighted 70% Male 30% Female

[1] Can vary by group due to provisions of plans historically merged into this plan

## Other Information to Fully and Fairly Disclose the Actuarial Position of the Plan

Effective December 31, 2008, the seven plans listed below merged into the Battery Division Owosso, U.A.W. Employee Pension Plan. This did not result in a method change because all the methods used for the eight plans were the same.

- Johnson Controls Pension Plan System Products Division/Goshen Production Employees ("Goshen");
- Johnson Controls Pension Plan Automotive Systems Group/Johns Creek Production Employees ("Johns Creek");
- Automotive Systems Group Mt. Clemens Production Employees Pension Plan ("Mt. Clemens");
- Johnson Controls Pension Plan, Automotive Systems Group/Oberlin Production Employees ("Oberlin");
- Johnson Controls Pension Plan, Automotive Systems Group/Plymouth Production Employees ("Port Street");
- Johnson Controls Pension Plan System Products Division/Watertown Production Employees ("Watertown"); and
- York International Corporation Pension Plan Number Eight ("York Plan 8").

Below is a detailed calculation of the Funding Standard Carryover Balance and the Prefunding Balance as of January 1, 2009.

# Schedule SB Attachment (Form 5500)—2009 Plan Year
# Battery Division/ Owosso, U.A.W.
# EIN: 39-1684871 PN: 017

| | | Owosso (Pre-Merger) | | Goshen | | Johns Creek | | Mt. Clemens | |
|---|---|---|---|---|---|---|---|---|---|
| | | *Carryover Balance* | *Prefunding Balance* | *Carryover Balance* | *Prefunding Balance* | *Carryover Balance* | *Prefunding Balance* | *Carryover Balance* | *Prefunding Balance* |
| line 7 | Balance at beginning of prior year after applicable adjustments (Item 13 from prior year) | 13,313,162 | 0 | 0 | 0 | 506,437 | 0 | 652,045 | 0 |
| line 8 | Portion used to offset prior year's funding requirement (Item 35 from prior year) | 0 | 0 | 0 | 0 | 211,262 | 0 | 0 | 0 |
| line 9 | Amount remaining (Item 7 minus item 8) | 13,313,162 | 0 | 0 | 0 | 295,175 | 0 | 652,045 | 0 |
| | Prior year's actual return | -11.45% | -11.45% | -20.46% | -20.46% | -22.38% | -22.38% | -20.59% | -20.59% |
| line 10 | Interest on item 9 using prior year's actual return | (1,524,357) | 0 | 0 | 0 | (66,060) | 0 | (134,256) | 0 |
| line 11 | Prior year's excess contributions to be added to prefunding balance: | | | | | | | | |
| a | Excess contributions (Item 38 from prior year) | | 0 | | 0 | | 0 | | 0 |
| | Prior year's effective rate | | 6.04% | | 6.06% | | 6.34% | | 6.33% |
| b | Interest on (a) using prior year's effective rate | | 0 | | 0 | | 0 | | 0 |
| c | Total available at beginning of current plan year to add to prefunding balance | | 0 | | 0 | | 0 | | 0 |
| d | Portion of (c) to be added to prefunding balance | | 0 | | 0 | | 0 | | 0 |
| line 12 | Reduction in balances due to elections or deemed elections | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| line 13 | Balance at beginning of current year (item 9 + item 10 + item 11d - item 12) | 11,788,805 | 0 | 0 | 0 | 229,115 | 0 | 517,789 | 0 |

# Schedule SB Attachment (Form 5500)—2009 Plan Year
# Battery Division/ Owosso, U.A.W.
# EIN: 39-1684871 PN: 017

| | | Oberlin | | Port Street | | Watertown | | York Plan 8 | | Owosso (Post-Merger) | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | *Carryover Balance* | *Prefunding Balance* | *Carryover Balance* | *Prefunding Balance* | *Carryover Balance* | *Prefunding Balance* | *Carryover Balance* | *Prefunding Balance* | *Carryover Balance* | *Prefunding Balance* |
| line 7 | Balance at beginning of prior year after applicable adjustments (Item 13 from prior year) | 323,098 | 0 | 755,674 | 0 | 2,055,119 | 0 | 4,698 | 0 | 17,610,233 | 0 |
| line 8 | Portion used to offset prior year's funding requirement (Item 35 from prior year) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 211,262 | 0 |
| line 9 | Amount remaining (Item 7 minus item 8) | 323,098 | 0 | 755,674 | 0 | 2,055,119 | 0 | 4,698 | 0 | 17,398,971 | 0 |
| | Prior year's actual return | -20.73% | -20.73% | -20.68% | -20.68% | -20.44% | -20.44% | -27.72% | -27.72% | | |
| line 10 | Interest on item 9 using prior year's actual return | (66,978) | 0 | (156,273) | 0 | (420,066) | 0 | (1,302) | 0 | (2,369,292) | 0 |
| line 11 | Prior year's excess contributions to be added to prefunding balance: | | | | | | | | | | |
| a | Excess contributions (Item 38 from prior year) | | 0 | | 0 | | 0 | | 171,831 | | 171,831 |
| | Prior year's effective rate | | 6.35% | | 6.36% | | 6.10% | | 6.08% | | |
| b | Interest on (a) using prior year's effective rate | | 0 | | 0 | | 0 | | 10,447 | | 10,447 |
| c | Total available at beginning of current plan year to add to prefunding balance | | 0 | | 0 | | 0 | | 182,278 | | 182,278 |
| d | Portion of (c) to be added to prefunding balance | | 0 | | 0 | | 0 | | 182,278 | | 182,278 |
| line 12 | Reduction in balances due to elections or deemed elections | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| line 13 | Balance at beginning of current year (item 9 + item 10 + item 11d - item 12) | 256,120 | 0 | 599,401 | 0 | 1,635,053 | 0 | 3,396 | 182,278 | 15,029,679 | 182,278 |

**Johnson Controls Pension Plan Battery Division Owosso U.A.W. Employees**
**Plan # 017, EIN # 39-1684871**
**Schedule H Line 4i- Schedule of Assets (Held at end of Year)**
**December 31, 2009**

| Identity of Issue, Borrower, Lessor or Similar Party | Description of Investment (Including Maturity Date, Rate of Interest, Par or Maturity Value) | Current Value |
|---|---|---|
| Master Trust | Johnson Controls Master Pension Trust | $ 129,508,465 |
| Total investments | | $ 129,508,465 |

* Indicates party-in-interest.

# Schedule SB Attachment (Form 5500)—2009 Plan Year
# Battery Division/ Owosso, U.A.W.
# EIN: 39-1684871 PN: 017

**Schedule SB, line 26—Schedule of Active Participant Data as of January 1, 2009**

Number of Participants

| Attained Age | Years of Credited Service | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | <1 | 1-4 | 5-9 | 10-14 | 15-19 | 20-24 | 25-29 | 30-34 | 35-39 | 40+ |
| <25 | | | | | | | | | | |
| 25-29 | | 5 | 2 | | | | | | | |
| 30-34 | | 23 | 8 | 12 | | | | | | |
| 35-39 | 2 | 15 | 10 | 29 | 2 | | | | | |
| 40-44 | 1 | 16 | 8 | 20 | 4 | | | | | |
| 45-49 | 1 | 9 | 6 | 11 | | 2 | | | | |
| 50-54 | | 4 | 6 | 11 | 1 | | 1 | | | |
| 55-59 | 2 | 1 | 3 | 7 | 1 | 2 | 1 | | | |
| 60-64 | | 1 | | 2 | | 1 | | | | |
| 65-69 | | | 1 | | | | | | | |
| 70+ | | | | | | | | | | |

N-231

## Schedule SB, Part V—Statement of Actuarial Assumptions/Methods

| | |
|---|---|
| Interest Rates | Based on the full Yield Curve with a two month lookback (October 2008 yield curve), with sample rates as follows: |
| Yield Curve | Duration 0.5 - 5.45%<br>Duration 5.5 - 8.25%<br>Duration 10.5 - 8.87%<br>Duration 15.5 - 8.65%<br>Duration 20.5 - 8.11%<br>Duration 25.5 - 7.71%<br>Duration 30.5 - 7.46% |
| Optional Payment Form Election Percentage | |
| Owosso | 60% Life Annuity.<br>40% Joint and 50% Survivor. |
| Goshen | 65% Life Annuity.<br>35% Joint and 50% Survivor. |
| Watertown | 75% Life Annuity.<br>25% Joint and 50% Survivor. |
| Elyria<br>Madisonville<br>Medina<br>Miller-Picking | 80% Life Annuity.<br>20% Joint and 50% Survivor. |
| All Others | 100% Life Annuity. |
| Retirement Age | |
| Active Participants | |
| Port Street | 65. |
| All Others | See Table 1. |
| Terminated Vested Participants | 65. |
| Mortality Rates | |
| Healthy and Disabled | 2009 Static Mortality Table for Annuitants and Non-Annuitants Per §1.430(h)(3)-1(e). |
| Withdrawal Rates | See Table 2. |
| Disability Rates | See Table 3. |
| Surviving Spouse Benefit | It is assumed that 80% of males and 80% of females have an eligible spouse, and that males are three years older than their spouses. |

| | |
|---|---|
| Valuation of Plan Assets | Averaged fair market value of assets over the current and prior two years, adjusted for contributions, benefit payments, administrative expenses, and expected earnings. The average value of assets calculated in this manner is further limited to not less than 90% nor more than 110% of fair market value.<br><br>A characteristic of this method is that the expected distribution of the value of plan assets is skewed toward understatement relative to the corresponding market values for expected long-term rates of return in excess of the third segment rate under IRC section 430(h)(2)(C)(iii). |
| Trustee Expenses Included in Target Normal Cost (Equal to prior year actual administrative expenses) | $567,459 |
| Expected Return on Assets | |
| 2007 Plan Year | 6.09% |
| 2008 Plan Year | 6.43% |
| Actuarial Method | Standard Unit Credit Cost Method. |
| Valuation Date | January 1, 2009. |

**Table 1—Page 1 of 5**
**Retirement Rates—Owosso**

| Age | Rate |
|---|---|
| 55 | 3.00% |
| 56 | 3.00% |
| 57 | 3.00% |
| 58 | 3.00% |
| 59 | 3.00% |
| 60 | 3.00% |
| 61 | 3.00% |
| 62 | 55.00% |
| 63 | 15.00% |
| 64 | 15.00% |
| 65 | 65.00% |
| 66 | 50.00% |
| 67 | 40.00% |
| 68 | 30.00% |
| 69 | 20.00% |
| 70+ | 100.00% |

**Table 1—Page 2 of 5**
**Retirement Rates—Goshen**

| Age | Rate |
|---|---|
| 55 | 2.00% |
| 56 | 2.00% |
| 57 | 2.00% |
| 58 | 2.00% |
| 59 | 2.00% |
| 60 | 2.00% |
| 61 | 2.00% |
| 62 | 30.00% |
| 63 | 10.00% |
| 64 | 10.00% |
| 65 | 50.00% |
| 66 | 30.00% |
| 67 | 30.00% |
| 68 | 30.00% |
| 69 | 30.00% |
| 70+ | 100.00% |

**Table 1—Page 3 of 5**
**Retirement Rates—Watertown**

| Age | Rate |
|---|---|
| 55 | 3.00% |
| 56 | 3.00% |
| 57 | 3.00% |
| 58 | 3.00% |
| 59 | 3.00% |
| 60 | 3.00% |
| 61 | 3.00% |
| 62 | 50.00% |
| 63 | 15.00% |
| 64 | 15.00% |
| 65 | 70.00% |
| 66 | 25.00% |
| 67 | 25.00% |
| 68 | 25.00% |
| 69 | 25.00% |
| 70+ | 100.00% |

**Table 1—Page 4 of 5**
**Retirement Rates—Mt. Clemens, Oberlin, Johns Creek**

| Age | Rate |
|---|---|
| 60 | 2.00% |
| 61 | 2.00% |
| 62 | 30.00% |
| 63 | 15.00% |
| 64 | 15.00% |
| 65 | 65.00% |
| 66 | 25.00% |
| 67 | 25.00% |
| 68 | 25.00% |
| 69 | 25.00% |
| 70+ | 100.00% |

**Table 1—Page 5 of 5**
**Retirement Rate—Elyria, Madisonville, Medina, Miller-Picking**

| Age | Rate |
|---|---|
| 60 | 10.00% |
| 61 | 5.00% |
| 62 | 45.00% |
| 63 | 30.00% |
| 64 | 10.00% |
| 65 | 70.00% |
| 66 | 50.00% |
| 67 | 50.00% |
| 68 | 50.00% |
| 69 | 50.00% |
| 70+ | 100.00% |

**Table 2—Page 1 of 8**
**Termination Rates—Male—Owosso**

| | Years of Service | | | |
|---|---|---|---|---|
| **Age** | **0** | **1** | **2** | **3+** |
| 15 | 25.00% | 15.00% | 10.00% | 9.90% |
| 16 | 25.00% | 15.00% | 10.00% | 9.90% |
| 17 | 25.00% | 15.00% | 10.00% | 9.90% |
| 18 | 25.00% | 15.00% | 10.00% | 9.90% |
| 19 | 25.00% | 15.00% | 10.00% | 9.90% |
| 20 | 25.00% | 15.00% | 10.00% | 9.90% |
| 21 | 25.00% | 15.00% | 10.00% | 9.70% |
| 22 | 25.00% | 15.00% | 10.00% | 9.40% |
| 23 | 25.00% | 15.00% | 10.00% | 9.10% |
| 24 | 25.00% | 15.00% | 10.00% | 8.90% |
| 25 | 25.00% | 15.00% | 10.00% | 8.60% |
| 26 | 25.00% | 15.00% | 10.00% | 8.40% |
| 27 | 25.00% | 15.00% | 10.00% | 8.10% |
| 28 | 25.00% | 15.00% | 10.00% | 7.80% |
| 29 | 25.00% | 15.00% | 10.00% | 7.60% |
| 30 | 25.00% | 15.00% | 10.00% | 7.30% |
| 31 | 25.00% | 15.00% | 10.00% | 7.10% |
| 32 | 25.00% | 15.00% | 10.00% | 6.80% |
| 33 | 25.00% | 15.00% | 10.00% | 6.60% |
| 34 | 25.00% | 15.00% | 10.00% | 6.30% |
| 35 | 25.00% | 15.00% | 10.00% | 6.10% |
| 36 | 25.00% | 15.00% | 10.00% | 5.80% |
| 37 | 25.00% | 15.00% | 10.00% | 5.60% |
| 38 | 25.00% | 15.00% | 10.00% | 5.30% |
| 39 | 25.00% | 15.00% | 10.00% | 5.10% |
| 40 | 25.00% | 15.00% | 10.00% | 4.80% |
| 41 | 25.00% | 15.00% | 10.00% | 4.60% |
| 42 | 25.00% | 15.00% | 10.00% | 4.30% |
| 43 | 25.00% | 15.00% | 10.00% | 4.10% |
| 44 | 25.00% | 15.00% | 10.00% | 3.80% |

**Table 2—Page 2 of 8**
**Termination Rates—Male—Owosso**

| | Years of Service | | | |
|---|---|---|---|---|
| **Age** | **0** | **1** | **2** | **3+** |
| 45 | 25.00% | 15.00% | 10.00% | 3.60% |
| 46 | 25.00% | 15.00% | 10.00% | 3.30% |
| 47 | 25.00% | 15.00% | 10.00% | 3.10% |
| 48 | 25.00% | 15.00% | 10.00% | 2.80% |
| 49 | 25.00% | 15.00% | 10.00% | 2.60% |
| 50 | 25.00% | 15.00% | 10.00% | 2.30% |
| 51 | 25.00% | 15.00% | 10.00% | 2.10% |
| 52 | 25.00% | 15.00% | 10.00% | 1.80% |
| 53 | 25.00% | 15.00% | 10.00% | 1.60% |
| 54 | 25.00% | 15.00% | 10.00% | 1.30% |
| 55 | 25.00% | 15.00% | 10.00% | 1.10% |
| 56 | 25.00% | 15.00% | 10.00% | 0.80% |
| 57 | 25.00% | 15.00% | 10.00% | 0.60% |
| 58 | 25.00% | 15.00% | 10.00% | 0.30% |
| 59+ | 25.00% | 15.00% | 10.00% | 0.00% |

**Table 2—Page 3 of 8**
**Termination Rates—Female—Owosso**

| | Years of Service | | | |
|---|---|---|---|---|
| **Age** | **0** | **1** | **2** | **3+** |
| 15 | 25.00% | 15.00% | 10.00% | 13.20% |
| 16 | 25.00% | 15.00% | 10.00% | 13.20% |
| 17 | 25.00% | 15.00% | 10.00% | 13.20% |
| 18 | 25.00% | 15.00% | 10.00% | 13.20% |
| 19 | 25.00% | 15.00% | 10.00% | 13.20% |
| 20 | 25.00% | 15.00% | 10.00% | 13.20% |
| 21 | 25.00% | 15.00% | 10.00% | 12.80% |
| 22 | 25.00% | 15.00% | 10.00% | 12.50% |
| 23 | 25.00% | 15.00% | 10.00% | 12.20% |
| 24 | 25.00% | 15.00% | 10.00% | 11.80% |
| 25 | 25.00% | 15.00% | 10.00% | 11.50% |
| 26 | 25.00% | 15.00% | 10.00% | 11.10% |
| 27 | 25.00% | 15.00% | 10.00% | 10.80% |
| 28 | 25.00% | 15.00% | 10.00% | 10.40% |
| 29 | 25.00% | 15.00% | 10.00% | 10.10% |
| 30 | 25.00% | 15.00% | 10.00% | 9.70% |
| 31 | 25.00% | 15.00% | 10.00% | 9.40% |
| 32 | 25.00% | 15.00% | 10.00% | 9.00% |
| 33 | 25.00% | 15.00% | 10.00% | 8.70% |
| 34 | 25.00% | 15.00% | 10.00% | 8.40% |
| 35 | 25.00% | 15.00% | 10.00% | 8.00% |
| 36 | 25.00% | 15.00% | 10.00% | 7.70% |
| 37 | 25.00% | 15.00% | 10.00% | 7.40% |
| 38 | 25.00% | 15.00% | 10.00% | 7.10% |
| 39 | 25.00% | 15.00% | 10.00% | 6.70% |
| 40 | 25.00% | 15.00% | 10.00% | 6.40% |
| 41 | 25.00% | 15.00% | 10.00% | 6.00% |
| 42 | 25.00% | 15.00% | 10.00% | 5.70% |
| 43 | 25.00% | 15.00% | 10.00% | 5.40% |
| 44 | 25.00% | 15.00% | 10.00% | 5.10% |

**Table 2—Page 4 of 8**
**Termination Rates—Female—Owosso**

| | Years of Service | | | |
|---|---|---|---|---|
| **Age** | **0** | **1** | **2** | **3+** |
| 45 | 25.00% | 15.00% | 10.00% | 4.70% |
| 46 | 25.00% | 15.00% | 10.00% | 4.40% |
| 47 | 25.00% | 15.00% | 10.00% | 4.10% |
| 48 | 25.00% | 15.00% | 10.00% | 3.80% |
| 49 | 25.00% | 15.00% | 10.00% | 3.40% |
| 50 | 25.00% | 15.00% | 10.00% | 3.10% |
| 51 | 25.00% | 15.00% | 10.00% | 2.70% |
| 52 | 25.00% | 15.00% | 10.00% | 2.40% |
| 53 | 25.00% | 15.00% | 10.00% | 2.10% |
| 54 | 25.00% | 15.00% | 10.00% | 1.80% |
| 55 | 25.00% | 15.00% | 10.00% | 1.40% |
| 56 | 25.00% | 15.00% | 10.00% | 1.10% |
| 57 | 25.00% | 15.00% | 10.00% | 0.80% |
| 58 | 25.00% | 15.00% | 10.00% | 0.40% |
| 59+ | 25.00% | 15.00% | 10.00% | 0.00% |

**Table 2—Page 5 of 8**
**Termination Rates—Elyria**

| Age | Rate | Age | Rate |
|---|---|---|---|
| 20 | 30.00% | 50 | 1.40% |
| 21 | 28.20% | 51 | 1.20% |
| 22 | 26.40% | 52 | 1.00% |
| 23 | 24.60% | 53 | 0.80% |
| 24 | 23.00% | 54 | 0.70% |
| 25 | 21.40% | 55 | 0.60% |
| 26 | 20.00% | 56 | 0.50% |
| 27 | 18.60% | 57 | 0.40% |
| 28 | 17.40% | 58 | 0.30% |
| 29 | 16.20% | 59 | 0.20% |
| 30 | 15.00% | 60+ | 0.10% |
| 31 | 14.00% | | |
| 32 | 13.00% | | |
| 33 | 12.00% | | |
| 34 | 11.20% | | |
| 35 | 10.40% | | |
| 36 | 9.60% | | |
| 37 | 8.80% | | |
| 38 | 8.20% | | |
| 39 | 7.60% | | |
| 40 | 7.00% | | |
| 41 | 3.20% | | |
| 42 | 3.00% | | |
| 43 | 2.80% | | |
| 44 | 2.60% | | |
| 45 | 2.40% | | |
| 46 | 2.20% | | |
| 47 | 2.00% | | |
| 48 | 1.80% | | |
| 49 | 1.60% | | |

**Table 2—Page 6 of 8**
**Termination Rates—Miller-Picking**

| Age | Rate | Age | Rate |
|---|---|---|---|
| 18 | 5.44% | 48 | 2.99% |
| 19 | 5.44% | 49 | 2.75% |
| 20 | 5.44% | 50 | 2.48% |
| 21 | 5.41% | 51 | 2.18% |
| 22 | 5.38% | 52 | 1.86% |
| 23 | 5.36% | 53 | 1.54% |
| 24 | 5.32% | 54 | 1.23% |
| 25 | 5.29% | 55 | 0.94% |
| 26 | 5.26% | 56 | 0.68% |
| 27 | 5.22% | 57 | 0.47% |
| 28 | 5.17% | 58 | 0.30% |
| 29 | 5.12% | 59 | 0.18% |
| 30 | 5.07% | 60 | 0.09% |
| 31 | 5.01% | 61 | 0.04% |
| 32 | 4.94% | 62+ | 0.01% |
| 33 | 4.87% | | |
| 34 | 4.79% | | |
| 35 | 4.70% | | |
| 36 | 4.61% | | |
| 37 | 4.51% | | |
| 38 | 4.41% | | |
| 39 | 4.30% | | |
| 40 | 4.19% | | |
| 41 | 4.07% | | |
| 42 | 3.95% | | |
| 43 | 3.82% | | |
| 44 | 3.68% | | |
| 45 | 3.54% | | |
| 46 | 3.38% | | |
| 47 | 3.20% | | |

**Table 2—Page 7 of 8**
**Termination Rates—All Others**

| | Years of Service | | | |
|---|---|---|---|---|
| **Age** | **0** | **1** | **2** | **3+** |
| 15 | 25.00% | 20.00% | 15.00% | 6.20% |
| 16 | 25.00% | 20.00% | 15.00% | 6.20% |
| 17 | 25.00% | 20.00% | 15.00% | 6.20% |
| 18 | 25.00% | 20.00% | 15.00% | 6.20% |
| 19 | 25.00% | 20.00% | 15.00% | 6.20% |
| 20 | 25.00% | 20.00% | 15.00% | 6.20% |
| 21 | 25.00% | 20.00% | 15.00% | 6.00% |
| 22 | 25.00% | 20.00% | 15.00% | 5.90% |
| 23 | 25.00% | 20.00% | 15.00% | 5.80% |
| 24 | 25.00% | 20.00% | 15.00% | 5.70% |
| 25 | 25.00% | 20.00% | 15.00% | 5.60% |
| 26 | 25.00% | 20.00% | 15.00% | 5.50% |
| 27 | 25.00% | 20.00% | 15.00% | 5.40% |
| 28 | 25.00% | 20.00% | 15.00% | 5.20% |
| 29 | 25.00% | 20.00% | 15.00% | 5.20% |
| 30 | 25.00% | 20.00% | 15.00% | 5.10% |
| 31 | 25.00% | 20.00% | 15.00% | 5.10% |
| 32 | 25.00% | 20.00% | 15.00% | 5.00% |
| 33 | 25.00% | 20.00% | 15.00% | 4.90% |
| 34 | 25.00% | 20.00% | 15.00% | 4.80% |
| 35 | 25.00% | 20.00% | 15.00% | 4.80% |
| 36 | 25.00% | 20.00% | 15.00% | 4.70% |
| 37 | 25.00% | 20.00% | 15.00% | 4.60% |
| 38 | 25.00% | 20.00% | 15.00% | 4.40% |
| 39 | 25.00% | 20.00% | 15.00% | 4.40% |
| 40 | 25.00% | 20.00% | 15.00% | 4.30% |
| 41 | 25.00% | 20.00% | 15.00% | 4.30% |
| 42 | 25.00% | 20.00% | 15.00% | 4.20% |
| 43 | 25.00% | 20.00% | 15.00% | 4.10% |
| 44 | 25.00% | 20.00% | 15.00% | 4.00% |

**Table 2—Page 8 of 8**
**Termination Rates—All Others**

| | Years of Service | | | |
|---|---|---|---|---|
| **Age** | **0** | **1** | **2** | **3+** |
| 45 | 25.00% | 20.00% | 15.00% | 4.00% |
| 46 | 25.00% | 20.00% | 15.00% | 3.90% |
| 47 | 25.00% | 20.00% | 15.00% | 3.80% |
| 48 | 25.00% | 20.00% | 15.00% | 3.60% |
| 49 | 25.00% | 20.00% | 15.00% | 3.60% |
| 50 | 25.00% | 20.00% | 15.00% | 3.50% |
| 51 | 25.00% | 20.00% | 15.00% | 3.50% |
| 52 | 25.00% | 20.00% | 15.00% | 3.40% |
| 53 | 25.00% | 20.00% | 15.00% | 3.20% |
| 54 | 25.00% | 20.00% | 15.00% | 3.00% |
| 55 | 25.00% | 20.00% | 15.00% | 2.70% |
| 56 | 25.00% | 20.00% | 15.00% | 2.50% |
| 57 | 25.00% | 20.00% | 15.00% | 2.30% |
| 58 | 25.00% | 20.00% | 15.00% | 1.10% |
| 59+ | 25.00% | 20.00% | 15.00% | 0.00% |

**Table 3**
**Disability Rates—All Groups except Elyria, Madisonville, Medina, Miller-Picking**

| Age | Male | Female | Age | Male | Female |
|---|---|---|---|---|---|
| 15 | 0.03% | 0.03% | 45 | 0.16% | 0.24% |
| 16 | 0.03% | 0.03% | 46 | 0.18% | 0.27% |
| 17 | 0.03% | 0.03% | 47 | 0.21% | 0.30% |
| 18 | 0.03% | 0.03% | 48 | 0.25% | 0.33% |
| 19 | 0.03% | 0.03% | 49 | 0.28% | 0.36% |
| 20 | 0.03% | 0.03% | 50 | 0.33% | 0.40% |
| 21 | 0.03% | 0.03% | 51 | 0.39% | 0.44% |
| 22 | 0.03% | 0.03% | 52 | 0.46% | 0.49% |
| 23 | 0.03% | 0.03% | 53 | 0.53% | 0.54% |
| 24 | 0.03% | 0.03% | 54 | 0.61% | 0.59% |
| 25 | 0.03% | 0.03% | 55 | 0.69% | 0.64% |
| 26 | 0.03% | 0.03% | 56 | 0.77% | 0.69% |
| 27 | 0.03% | 0.03% | 57 | 0.86% | 0.74% |
| 28 | 0.03% | 0.04% | 58 | 0.95% | 0.80% |
| 29 | 0.03% | 0.04% | 59 | 1.05% | 0.85% |
| 30 | 0.03% | 0.04% | 60 | 1.15% | 0.90% |
| 31 | 0.03% | 0.05% | 61 | 1.26% | 0.96% |
| 32 | 0.03% | 0.05% | 62 | 1.38% | 1.01% |
| 33 | 0.03% | 0.06% | 63 | 1.51% | 1.05% |
| 34 | 0.03% | 0.06% | 64 | 1.64% | 1.09% |
| 35 | 0.04% | 0.07% | 65+ | 0.00% | 0.00% |
| 36 | 0.04% | 0.08% | | | |
| 37 | 0.05% | 0.09% | | | |
| 38 | 0.06% | 0.10% | | | |
| 39 | 0.07% | 0.12% | | | |
| 40 | 0.08% | 0.13% | | | |
| 41 | 0.09% | 0.15% | | | |
| 42 | 0.10% | 0.17% | | | |
| 43 | 0.12% | 0.19% | | | |
| 44 | 0.14% | 0.22% | | | |

# Schedule SB Attachment (Form 5500)—2009 Plan Year
# Battery Division/ Owosso, U.A.W.
# EIN: 39-1684871 PN: 017

## Schedule SB, line 19—Discounted Employer Contributions

Year applied for contributions: 2009

| Date | Amount | Interest Rate | Interest Adjusted Contribution |
|---|---|---|---|
| April 15, 2009 | $ 100,000 | 8.14% | $ 97,795 |
| July 15, 2009 | 100,000 | 8.14% | 95,905 |
| Total Contribution | $ 200,000 | | $ 193,700 |

## Schedule SB, line 25—Change in Funding Method

**Method Changes**

- A change in the asset valuation method from a one month (2-point) Average Value method to a two year (3-point) Average Value method as of January 1, 2009.

- A change in the interest rate assumption from the January segment rates to the full yield curve with a two month lookback (October yield curve).

- An addition to the Target Normal Cost of assumed expenses payable from the trust, as required by WRERA.

These changes have automatic approval under final regulations, Notice 2009-22 or other IRS guidance.

## Schedule SB, line 22—Description of Weighted Average Retirement Age

The average retirement age shown in line 22 has been calculated by assuming the following retirement rates and no decrements other than retirement for this calculation. All retirements are assumed to occur at mid-year, except for the 100% retirement age.

### Retirement Rates – Owosso

| (a) Age | (b) Rate | (c) Weight | (d) Product (a) × (b) × (c) |
|---|---|---|---|
| 55.5 | 3.00% | 1.0000 | 1.67 |
| 56.5 | 3.00% | 0.9700 | 1.64 |
| 57.5 | 3.00% | 0.9409 | 1.62 |
| 58.5 | 3.00% | 0.9127 | 1.60 |
| 59.5 | 3.00% | 0.8853 | 1.58 |
| 60.5 | 3.00% | 0.8587 | 1.56 |
| 61.5 | 3.00% | 0.8330 | 1.54 |
| 62.5 | 55.00% | 0.8080 | 27.77 |
| 63.5 | 15.00% | 0.3636 | 3.46 |
| 64.5 | 15.00% | 0.3091 | 2.99 |
| 65.5 | 65.00% | 0.2627 | 11.18 |
| 66.5 | 50.00% | 0.0919 | 3.06 |
| 67.5 | 40.00% | 0.0460 | 1.24 |
| 68.5 | 30.00% | 0.0276 | 0.57 |
| 69.5 | 20.00% | 0.0193 | 0.27 |
| 70 | 100.00% | 0.0154 | 1.08 |
| | | Weighted Average | 62.83 |

### Retirement Rates – Goshen

| (a) Age | (b) Rate | (c) Weight | (d) Product (a) × (b) × (c) |
|---|---|---|---|
| 55.5 | 2.00% | 1.0000 | 1.11 |
| 56.5 | 2.00% | 0.9800 | 1.11 |
| 57.5 | 2.00% | 0.9604 | 1.10 |
| 58.5 | 2.00% | 0.9412 | 1.10 |
| 59.5 | 2.00% | 0.9224 | 1.10 |
| 60.5 | 2.00% | 0.9039 | 1.09 |
| 61.5 | 2.00% | 0.8858 | 1.09 |
| 62.5 | 30.00% | 0.8681 | 16.28 |
| 63.5 | 10.00% | 0.6077 | 3.86 |
| 64.5 | 10.00% | 0.5469 | 3.53 |
| 65.5 | 50.00% | 0.4922 | 16.12 |
| 66.5 | 30.00% | 0.2461 | 4.91 |
| 67.5 | 30.00% | 0.1723 | 3.49 |
| 68.5 | 30.00% | 0.1206 | 2.48 |
| 69.5 | 30.00% | 0.0844 | 1.76 |
| 70 | 100.00% | 0.0591 | 4.14 |
| | | Weighted Average | 64.27 |

### Retirement Rates – Watertown

| (a) Age | (b) Rate | (c) Weight | (d) Product (a) × (b) × (c) |
|---|---|---|---|
| 55.5 | 3.00% | 1.0000 | 1.67 |
| 56.5 | 3.00% | 0.9700 | 1.64 |
| 57.5 | 3.00% | 0.9409 | 1.62 |
| 58.5 | 3.00% | 0.9127 | 1.60 |
| 59.5 | 3.00% | 0.8853 | 1.58 |
| 60.5 | 3.00% | 0.8587 | 1.56 |
| 61.5 | 3.00% | 0.8330 | 1.54 |
| 62.5 | 50.00% | 0.8080 | 25.25 |
| 63.5 | 15.00% | 0.4040 | 3.85 |
| 64.5 | 15.00% | 0.3434 | 3.32 |
| 65.5 | 70.00% | 0.2919 | 13.38 |
| 66.5 | 25.00% | 0.0876 | 1.46 |
| 67.5 | 25.00% | 0.0657 | 1.11 |
| 68.5 | 25.00% | 0.0493 | 0.84 |
| 69.5 | 25.00% | 0.0369 | 0.64 |
| 70 | 100.00% | 0.0277 | 1.94 |
| | | Weighted Average | 63.00 |

### Retirement Rates – Mt. Clemens, Oberlin, Johns Creek

| (a) Age | (b) Rate | (c) Weight | (d) Product (a) × (b) × (c) |
|---|---|---|---|
| 60.5 | 2.00% | 1.0000 | 1.21 |
| 61.5 | 2.00% | 0.9800 | 1.21 |
| 62.5 | 30.00% | 0.9604 | 18.01 |
| 63.5 | 15.00% | 0.6723 | 6.40 |
| 64.5 | 15.00% | 0.5714 | 5.53 |
| 65.5 | 65.00% | 0.4857 | 20.68 |
| 66.5 | 25.00% | 0.1700 | 2.83 |
| 67.5 | 25.00% | 0.1275 | 2.15 |
| 68.5 | 25.00% | 0.0956 | 1.64 |
| 69.5 | 25.00% | 0.0717 | 1.25 |
| 70 | 100.00% | 0.0538 | 3.77 |
| | Weighted Average | | 64.68 |

### Retirement Rates – Elyria, Madisonville, Medina, Miller-Picking

| (a) Age | (b) Rate | (c) Weight | (d) Product (a) × (b) × (c) |
|---|---|---|---|
| 60.5 | 10.00% | 1.0000 | 6.05 |
| 61.5 | 5.00% | 0.9000 | 2.77 |
| 62.5 | 45.00% | 0.8550 | 24.05 |
| 63.5 | 30.00% | 0.4703 | 8.96 |
| 64.5 | 10.00% | 0.3292 | 2.12 |
| 65.5 | 70.00% | 0.2963 | 13.58 |
| 66.5 | 50.00% | 0.0889 | 2.96 |
| 67.5 | 50.00% | 0.0444 | 1.50 |
| 68.5 | 50.00% | 0.0222 | 0.76 |
| 69.5 | 50.00% | 0.0111 | 0.39 |
| 70 | 100.00% | 0.0056 | 0.39 |
| | Weighted Average | | 63.53 |

| | Owosso | Goshen | Watertown | Mt.Clemens, Oberlin, Johns Creek | Elyria, Madisonville, Medina, Miler-Picking | Port Street |
|---|---|---|---|---|---|---|
| Average Age | 62.83 | 64.27 | 63.00 | 64.68 | 63.53 | 65 |
| Count | 5 | 0 | 0 | 73 | 10 | 143 |
| Weighted Average Expected Retirement Age | | | | | | 64.79 |

COLEMAN & WILLIAMS, LTD.
*A Professional Services Firm*

# JOHNSON CONTROLS, INC.
# PENSION PLANS

## FINANCIAL STATEMENTS
## YEARS ENDED DECEMBER 31, 2009 AND 2008

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

COLEMAN & WILLIAMS, LTD.
*A Professional Services Firm*

# JOHNSON CONTROLS, INC.
# PENSION PLANS
# FINANCIAL STATEMENTS
# YEARS ENDED DECEMBER 31, 2009 AND 2008

**Contents** **Page**

**Independent Auditors' Report** 1

**Financial Statements**

Statements of Net Assets Available for Benefits as of December 31, 2009 2

Statements of Net Assets Available for Benefits as of December 31, 2008 5

Statements of Changes in Net Assets Available for Benefits for the year ended December 31, 2009 8

Statements of Accumulated Plan Benefits as of January 1, 2009 11

Statements of Accumulated Plan Benefits as of January 1, 2008 14

Statements of Changes in Accumulated Plan Benefits for the year ended January 1, 2009 18

Notes to the Financial Statements for the years ended December 31, 2009 and 2008 21

**Supplemental Schedules**

Schedule H, Line 4i – Schedule of Assets (Held at End of Year) as of December 31, 2009* 37

Schedule H, Line 4j – Schedule of Reportable Transactions as of December 31, 2009* 38

*Note: Other schedules required by Section 2520.103-10 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income and Security Act of 1974 as amended have been omitted because they are not applicable.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

**COLEMAN & WILLIAMS, LTD.**
*A Professional Services Firm*

# INDEPENDENT AUDITORS' REPORT

To the Participants and Administrator of the
Johnson Controls, Inc. Pension Plans:

We were engaged to audit the accompanying statements of net assets available for benefits of the Johnson Controls, Inc. Pension Plans (the "Plans" as defined in note 1) as of December 31, 2009 and 2008, and the related statement of changes in net assets available for benefits for the year ended December 31, 2009 and the supplemental schedules as listed in the table of contents. These financial statements and supplemental schedules are the responsibility of the Plans' management.

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended, the Plans' administrator instructed us not to perform, and we did not perform any auditing procedures with respect to the information summarized in Note 11 as of and for the years ended December 31, 2009 and 2008, which was certified by U.S. Bank, N.A., the "Trustee" of the Plans, except for comparing such information with the related information included in the financial statements and supplemental schedules. We have been informed by the Plans' administrator that the Trustee holds the Plans' investment assets and executes investment transactions. The Plans' administrator obtained certifications from the Trustee as of December 31, 2009 and 2008 and for the year ended December 31, 2009 that the information provided to the Plans' administrator by the Trustee is complete and accurate.

Because of the significance of the information that we did not audit, we are unable to and do not express an opinion on the accompanying financial statements taken as a whole. The form and content of the information included in the financial statements and supplemental schedules, other than that derived from the information certified by the Trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, as amended.

Coleman & Williams, Ltd.

Milwaukee, Wisconsin
September 15, 2010

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS**
**DECEMBER 31, 2009**

| | Johnson Controls Pension (001) | Battery Division Hourly (016) | Battery Division Owosso UAW (017) | Cadiz (030) | Greenfield (032) | Techno Trim (046) | Shelbyville (053) |
|---|---|---|---|---|---|---|---|
| **ASSETS** | | | | | | | |
| Investment in Johnson Controls, Inc. Master Pension Trust | $ 1,364,736,855 | $ 242,387,474 | $ 129,508,465 | $ - | $ - | $ 3,206,419 | $ - |
| Employer contribution receivable | 136,000,000 | 26,650,000 | 13,560,000 | - | - | 10,000 | - |
| Pension overpayments receivable | 13,777 | 3,779 | 14,020 | - | - | - | - |
| Total assets | 1,500,750,632 | 269,041,253 | 143,082,485 | - | - | 3,216,419 | - |
| **LIABILITIES** | | | | | | | |
| Accrued administrative expenses | 393,504 | 42,084 | 57,951 | - | - | 3,712 | - |
| Total liabilities | 393,504 | 42,084 | 57,951 | - | - | 3,712 | - |
| Net assets available for benefits | $ 1,500,357,128 | $ 268,999,169 | $ 143,024,534 | $ - | $ - | $ 3,212,707 | $ - |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS**
**DECEMBER 31, 2009**

| | ASG Production (006) | West Carrollton (130) | York Plan 4 (018) | York Plan 6 (019) | York Plan 7 (020) | York Plan 12 (023) | York Plan 13 (024) |
|---|---|---|---|---|---|---|---|
| **ASSETS** | | | | | | | |
| Investment in Johnson Controls, Inc. Master Pension Trust | $ 3,761,927 | $ - | $ 82,331,651 | $ 2,071,597 | $ 19,428,930 | $ 6,443,518 | $ 18,506,246 |
| Employer contribution receivable | 200,000 | - | 5,100,000 | 450,000 | 1,050,000 | 1,450,000 | - |
| Pension overpayments receivable | - | - | 3,854 | - | 343 | - | 154 |
| Total assets | 3,961,927 | - | 87,435,505 | 2,521,597 | 20,479,273 | 7,893,518 | 18,506,400 |
| **LIABILITIES** | | | | | | | |
| Accrued administrative expenses | 7,554 | - | 10,352 | 2,662 | 8,940 | 3,902 | 4,962 |
| Total liabilities | 7,554 | - | 10,352 | 2,662 | 8,940 | 3,902 | 4,962 |
| Net assets available for benefits | $ 3,954,373 | $ - | $ 87,425,153 | $ 2,518,935 | $ 20,470,333 | $ 7,889,616 | $ 18,501,438 |

See the notes to the financial statements

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS**
**DECEMBER 31, 2009**

| | York Plan 14 (025) | York Plan 15 (026) | York Plan 18 (028) | York Plan 19 (029) | York Plan 23 (031) | Participating Plans' Total |
|---|---|---|---|---|---|---|
| **ASSETS** | | | | | | |
| Investment in Johnson Controls, Inc. Master Pension Trust | $ 3,756,553 | $ 11,880,539 | $ 11,517,609 | $ 12,903,013 | $ 6,859,725 | $ 1,919,300,521 |
| Employer contribution receivable | 620,000 | 1,925,000 | 675,000 | 2,100,000 | 1,390,000 | 191,180,000 |
| Pension overpayments receivable | - | 26 | - | - | - | 35,953 |
| Total assets | 4,376,553 | 13,805,565 | 12,192,609 | 15,003,013 | 8,249,725 | 2,110,516,474 |
| **LIABILITIES** | | | | | | |
| Accrued administrative expenses | 4,493 | 4,394 | 2,858 | 12,176 | 3,725 | 563,269 |
| Total liabilities | 4,493 | 4,394 | 2,858 | 12,176 | 3,725 | 563,269 |
| Net assets available for benefits | $ 4,372,060 | $ 13,801,171 | $ 12,189,751 | $ 14,990,837 | $ 8,246,000 | $ 2,109,953,205 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS**
**DECEMBER 31, 2008**

| | Johnson Controls Pension (001) | Battery Division Hourly (016) | Battery Division Owosso UAW (017) | Cadiz (030) | Greenfield (032) | Techno Trim (046) | Shelbyville (053) |
|---|---|---|---|---|---|---|---|
| **ASSETS** | | | | | | | |
| Investment in Johnson Controls, Inc. Master Pension Trust | $ 1,089,592,804 | $ 199,984,904 | $ 90,584,037 | $ 14,988,219 | $ 12,039,999 | $ 2,730,231 | $ 786,378 |
| Employer contribution receivable | 65,000,000 | 15,000,000 | - | - | - | - | - |
| Pension overpayments receivable | 3,262 | - | 749 | - | - | - | - |
| Total assets | 1,154,596,066 | 214,984,904 | 90,584,786 | 14,988,219 | 12,039,999 | 2,730,231 | 786,378 |
| **LIABILITIES** | | | | | | | |
| Accrued administrative expenses | 852,989 | 142,987 | 144,293 | 31,468 | 25,620 | 6,051 | 7,670 |
| Total liabilities | 852,989 | 142,987 | 144,293 | 31,468 | 25,620 | 6,051 | 7,670 |
| Net assets available for benefits | $ 1,153,743,077 | $ 214,841,917 | $ 90,440,493 | $ 14,956,751 | $ 12,014,379 | $ 2,724,180 | $ 778,708 |

See the notes to the financial statements

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS**
**DECEMBER 31, 2008**

| | ASG Production (006) | West Carrollton (130) | York Plan 4 (018) | York Plan 6 (019) | York Plan 7 (020) | York Plan 12 (023) | York Plan 13 (024) |
|---|---|---|---|---|---|---|---|
| **ASSETS** | | | | | | | |
| Investment in Johnson Controls, Inc. Master Pension Trust | $ 3,108,575 | $ 2,222,847 | $ 69,383,228 | $ 1,902,808 | $ 14,630,080 | $ 5,369,326 | $ 16,296.621 |
| Employer contribution receivable | - | - | 7,000,000 | - | 2,000,000 | - | - |
| Pension overpayments receivable | - | - | 165 | - | - | - | - |
| Total assets | 3,108,575 | 2,222,847 | 76,383,393 | 1,902,808 | 16,630,080 | 5,369,326 | 16,296,621 |
| **LIABILITIES** | | | | | | | |
| Accrued administrative expenses | 24,561 | 15,287 | 31,076 | 11,775 | 31,151 | 15,533 | 19,111 |
| Total liabilities | 24,561 | 15,287 | 31,076 | 11,775 | 31,151 | 15,533 | 19,111 |
| Net assets available for benefits | $ 3,084,014 | $ 2,207,560 | $ 76,352,317 | $ 1,891,033 | $ 16,598,929 | $ 5,353,793 | $ 16,277,510 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS**
**DECEMBER 31, 2008**

| | York Plan 14 (025) | York Plan 15 (026) | York Plan 18 (028) | York Plan 19 (029) | York Plan 23 (031) | Participating Plans' Total |
|---|---|---|---|---|---|---|
| **ASSETS** | | | | | | |
| Investment in Johnson Controls, Inc. Master Pension Trust | $ 3,092,437 | $ 10,205,063 | $ 8,936,676 | $ 10,608,272 | $ 5,780,474 | $ 1,562,242,979 |
| Employer contribution receivable | - | - | 1,000,000 | - | - | 90,000,000 |
| Pension overpayments receivable | - | 1,246 | - | - | - | 5,422 |
| Total assets | 3,092,437 | 10,206,309 | 9,936,676 | 10,608,272 | 5,780,474 | 1,652,248,401 |
| **LIABILITIES** | | | | | | |
| Accrued administrative expenses | 17,438 | 17,051 | 12,323 | 41,295 | 15,081 | 1,462,760 |
| Total liabilities | 17,438 | 17,051 | 12,323 | 41,295 | 15,081 | 1,462,760 |
| Net assets available for benefits | $ 3,074,999 | $ 10,189,258 | $ 9,924,353 | $ 10,566,977 | $ 5,765,393 | $ 1,650,785,641 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS**
**YEAR ENDED DECEMBER 31, 2009**

| | Johnson Controls Pension (001) | Battery Division Hourly (016) | Battery Division Owosso UAW (017) | Cadiz (030) | Greenfield (032) | Techno Trim (046) | Shelbyville (053) |
|---|---|---|---|---|---|---|---|
| **ADDITIONS** | | | | | | | |
| Additions to plan assets attributed to: | | | | | | | |
| Investment Income | | | | | | | |
| Plan interest in Johnson Controls, Inc. Master Pension Trust | $ 211,515,007 | $ 36,410,659 | $ 12,800,571 | $ 2,640,403 | $ 1,934,399 | $ 563,017 | $ 130,152 |
| Employer contributions | 200,000,000 | 30,650,000 | 13,760,000 | 350,000 | 150,000 | 60,000 | - |
| Total additions | 411,515,007 | 67,060,659 | 26,560,571 | 2,990,403 | 2,084,399 | 623,017 | 130,152 |
| **DEDUCTIONS** | | | | | | | |
| Deductions from plan assets attributed to: | | | | | | | |
| Benefits paid to participants | 62,213,791 | 12,439,349 | 6,661,257 | 866,466 | 638,456 | 112,762 | 67,266 |
| Administrative expenses | 3,504,283 | 464,058 | 473,633 | 86,197 | 46,531 | 21,728 | 24,476 |
| Total deductions | 65,718,074 | 12,903,407 | 7,134,890 | 952,663 | 684,987 | 134,490 | 91,742 |
| Transfer from (to) other plan | 817,118 | - | 33,158,360 | (16,994,491) | (13,413,791) | - | (817,118) |
| Net increase (decrease) | 346,614,051 | 54,157,252 | 52,584,041 | (14,956,751) | (12,014,379) | 488,527 | (778,708) |
| Net assets available for benefits, beginning of year | 1,153,743,077 | 214,841,917 | 90,440,493 | 14,956,751 | 12,014,379 | 2,724,180 | 778,708 |
| Net assets available for benefits, end of year | $ 1,500,357,128 | $ 268,999,169 | $ 143,024,534 | $ - | $ - | $ 3,212,707 | $ - |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS**
**YEAR ENDED DECEMBER 31, 2009**

| | ASG Production (006) | West Carrollton (130) | York Plan 4 (018) | York Plan 6 (019) | York Plan 7 (020) | York Plan 12 (023) | York Plan 13 (024) |
|---|---|---|---|---|---|---|---|
| **ADDITIONS** | | | | | | | |
| Additions to plan assets attributed to: | | | | | | | |
| Investment Income | | | | | | | |
| Plan interest in Johnson Controls, Inc. Master Pension Trust | $ 604,794 | $ 519,985 | $ 13,544,463 | $ 336,735 | $ 3,048,942 | $ 1,070,185 | $ 2,969,742 |
| Employer contributions | 400,000 | 250,000 | 5,400,000 | 450,000 | 1,450,000 | 1,650,000 | - |
| Total additions | 1,004,794 | 769,985 | 18,944,463 | 786,735 | 4,498,942 | 2,720,185 | 2,969,742 |
| **DEDUCTIONS** | | | | | | | |
| Deductions from plan assets attributed to: | | | | | | | |
| Benefits paid to participants | 48,288 | 186,321 | 7,755,446 | 125,880 | 522,395 | 135,182 | 686,354 |
| Administrative expenses | 86,147 | 41,146 | 116,181 | 32,953 | 105,143 | 49,180 | 59,460 |
| Total deductions | 134,435 | 227,467 | 7,871,627 | 158,833 | 627,538 | 184,362 | 745,814 |
| Transfer from (to) other plan | - | (2,750,078) | - | - | - | - | - |
| Net increase (decrease) | 870,359 | (2,207,560) | 11,072,836 | 627,902 | 3,871,404 | 2,535,823 | 2,223,928 |
| Net assets available for benefits, beginning of year | 3,084,014 | 2,207,560 | 76,352,317 | 1,891,033 | 16,598,929 | 5,353,793 | 16,277,510 |
| Net assets available for benefits, end of year | $ 3,954,373 | $ - | $ 87,425,153 | $ 2,518,935 | $ 20,470,333 | $ 7,889,616 | $ 18,501,438 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS**
**YEAR ENDED DECEMBER 31, 2009**

| | York Plan 14 (025) | York Plan 15 (026) | York Plan 18 (028) | York Plan 19 (029) | York Plan 23 (031) | Participating Plans' Total |
|---|---|---|---|---|---|---|
| **ADDITIONS** | | | | | | |
| Additions to plan assets attributed to: | | | | | | |
| Investment Income | | | | | | |
| Plan interest in Johnson Controls, Inc. Master Pension Trust | $ 648,462 | $ 2,082,040 | $ 1,879,520 | $ 2,252,117 | $ 1,239,314 | $ 296,190,507 |
| Employer contributions | 770,000 | 2,125,000 | 875,000 | 2,600,000 | 1,590,000 | 262,530,000 |
| Total additions | 1,418,462 | 4,207,040 | 2,754,520 | 4,852,117 | 2,829,314 | 558,720,507 |
| **DEDUCTIONS** | | | | | | |
| Deductions from plan assets attributed to: | | | | | | |
| Benefits paid to participants | 70,988 | 529,974 | 451,343 | 314,132 | 302,750 | 94,128,400 |
| Administrative expenses | 50,413 | 65,153 | 37,779 | 114,125 | 45,957 | 5,424,543 |
| Total deductions | 121,401 | 595,127 | 489,122 | 428,257 | 348,707 | 99,552,943 |
| Transfer from (to) other plan | - | - | - | - | - | - |
| Net increase (decrease) | 1,297,061 | 3,611,913 | 2,265,398 | 4,423,860 | 2,480,607 | 459,167,564 |
| Net assets available for benefits, beginning of year | 3,074,999 | 10,189,258 | 9,924,353 | 10,566,977 | 5,765,393 | 1,650,785,641 |
| Net assets available for benefits, end of year | $ 4,372,060 | $ 13,801,171 | $ 12,189,751 | $ 14,990,837 | $ 8,246,000 | $ 2,109,953,205 |

See the notes to the financial statements

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF ACCUMULATED PLAN BENEFITS**
**JANUARY 1, 2009**

| | Johnson Controls Pension (001) | Battery Division Hourly (016) | Battery Division Owosso UAW (017) | Cadiz (030) | Greenfield (032) | Techno Trim (046) | Shelbyville (053) |
|---|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits** | | | | | | | |
| Vested benefits | | | | | | | |
| Participants currently receiving payments | $ 466,727,088 | $ 109,850,573 | $ 53,411,220 | $ 5,275,261 | $ 5,836,106 | $ 1,046,855 | $ - |
| Participants with deferred benefits | 284,769,483 | 38,920,552 | 25,642,225 | 2,688,101 | 1,844,322 | 900,725 | 97,451 |
| Other participants | 408,355,679 | 68,374,246 | 1,133,098 | 8,992,672 | 4,126,423 | 704,893 | 520,496 |
| | 1,159,852,250 | 217,145,371 | 80,186,543 | 16,956,034 | 11,806,851 | 2,652,473 | 617,947 |
| Nonvested benefits | 70,505,021 | 9,433,688 | 117,435 | 2,609 | 642,877 | 54,693 | 11,176 |
| **Actuarial present value of accumulated plan benefits** | $ 1,230,357,271 | $ 226,579,059 | $ 80,303,978 | $ 16,958,643 | $ 12,449,728 | $ 2,707,166 | $ 629,123 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF ACCUMULATED PLAN BENEFITS**
**JANUARY 1, 2009**

| | ASG Production (006) | West Carrollton (130) | York Plan 4 (018) | York Plan 6 (019) | York Plan 7 (020) | York Plan 12 (023) | York Plan 13 (024) |
|---|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits** | | | | | | | |
| Vested benefits | | | | | | | |
| Participants currently receiving payments | $ 127,274 | $ 136,815 | $ 58,404,366 | $ 778,604 | $ 4,403,960 | $ 1,019,522 | $ 5,533,006 |
| Participants with deferred benefits | 1,481,078 | 1,835,149 | 6,668,998 | 872,945 | 2,820,614 | 1,147,435 | 1,720,869 |
| Other participants | 1,165,194 | 21,564 | 11,977,077 | 294,629 | 8,544,404 | 3,506,220 | 4,827,923 |
| | 2,773,546 | 1,993,528 | 77,050,441 | 1,946,178 | 15,768,978 | 5,673,177 | 12,081,798 |
| Nonvested benefits | 158,625 | 742 | 3,527,086 | 134,978 | 310,164 | 135,759 | 264,234 |
| **Actuarial present value of accumulated plan benefits** | $ 2,932,171 | $ 1,994,270 | $ 80,577,527 | $ 2,081,156 | $ 16,079,142 | $ 5,808,936 | $ 12,346,032 |

See the notes to the financial statements

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF ACCUMULATED PLAN BENEFITS**
**JANUARY 1, 2009**

| | York Plan 14 (025) | York Plan 15 (026) | York Plan 18 (028) | York Plan 19 (029) | York Plan 23 (031) | Participating Plans' Total |
|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits** | | | | | | |
| Vested benefits | | | | | | |
| Participants currently receiving payments | $ 435,549 | $ 4,341,219 | $ 3,667,068 | $ 2,478,483 | $ 2,606,796 | $ 726,079,765 |
| Participants with deferred benefits | 689,522 | 951,894 | 2,281,028 | 2,393,357 | 951,844 | 378,677,592 |
| Other participants | 2,053,530 | 5,677,717 | 4,258,487 | 5,879,318 | 2,806,320 | 543,219,890 |
| | 3,178,601 | 10,970,830 | 10,206,583 | 10,751,158 | 6,364,960 | 1,647,977,247 |
| Nonvested benefits | 139,185 | 200,586 | 72,749 | 1,143,074 | 268,346 | 87,123,027 |
| **Actuarial present value of accumulated plan benefits** | $ 3,317,786 | $ 11,171,416 | $ 10,279,332 | $ 11,894,232 | $ 6,633,306 | $ 1,735,100,274 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF ACCUMULATED PLAN BENEFITS**
**JANUARY 1, 2008**

| | Johnson Controls Pension (001) | Goshen Production (005) | Watertown Production (008) | Battery Division Hourly (016) | Battery Division Owosso UAW (017) | Cadiz (030) | Greenfield (032) | Techno Trim (046) |
|---|---|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits** | | | | | | | | |
| Vested benefits | | | | | | | | |
| Participants currently receiving payments | $ 428,881,838 | $ 10,961,816 | $ 4,458,513 | $ 100,834,010 | $ 30,373,759 | $ 5,292,908 | $ 5,172,219 | $ 638,565 |
| Other participants | 641,316,499 | 4,857,416 | 2,238,092 | 104,449,481 | 9,470,549 | 8,665,468 | 5,919,341 | 1,771,275 |
| | 1,070,198,337 | 15,819,232 | 6,696,605 | 205,283,491 | 39,844,308 | 13,958,376 | 11,091,560 | 2,409,840 |
| Nonvested benefits | 68,631,060 | - | 782 | 10,127,290 | 6,830 | 602,635 | 679,387 | 50,265 |
| **Actuarial present value of accumulated plan benefits** | $ 1,138,829,397 | $ 15,819,232 | $ 6,697,387 | $ 215,410,781 | $ 39,851,138 | $ 14,561,011 | $ 11,770,947 | $ 2,460,105 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF ACCUMULATED PLAN BENEFITS**
**JANUARY 1, 2008**

| | Mt. Clemens (049) | Port Street Union (050) | Oberlin Union (051) | Johns Creek (052) | Shelbyville (053) | ASG Production (006) | West Carrollton (130) |
|---|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits** | | | | | | | |
| Vested benefits | | | | | | | |
| Participants currently receiving payments | $ 143,194 | $ 68,152 | $ 19,998 | $ 52,342 | $ - | $ 77,849 | $ 40,488 |
| Other participants | 1,060,853 | 1,522,151 | 765,787 | 2,010,479 | 556,048 | 2,094,547 | 1,316,970 |
| | 1,204,047 | 1,590,303 | 785,785 | 2,062,821 | 556,048 | 2,172,396 | 1,357,458 |
| Nonvested benefits | 87,683 | 7,215 | 2,714 | 282,632 | 13,998 | 135,278 | 55,793 |
| **Actuarial present value of accumulated plan benefits** | $ 1,291,730 | $ 1,597,518 | $ 788,499 | $ 2,345,453 | $ 570,046 | $ 2,307,674 | $ 1,413,251 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF ACCUMULATED PLAN BENEFITS**
**JANUARY 1, 2008**

| | York Plan 4 (018) | York Plan 6 (019) | York Plan 7 (020) | York Plan 8 (021) | York Plan 12 (023) | York Plan 13 (024) | York Plan 14 (025) | York Plan 15 (026) |
|---|---|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits** | | | | | | | | |
| Vested benefits | | | | | | | | |
| Participants currently receiving payments | $ 57,847,894 | $ 730,628 | $ 3,746,260 | $ 6,744,988 | $ 896,606 | $ 5,036,879 | $ 313,177 | $ 4,293,565 |
| Other participants | 19,406,538 | 1,115,198 | 10,925,740 | 5,312,360 | 4,191,307 | 6,855,762 | 2,529,647 | 6,160,380 |
| | 77,254,432 | 1,845,826 | 14,672,000 | 12,057,348 | 5,087,913 | 11,892,641 | 2,842,824 | 10,453,945 |
| Nonvested benefits | 3,931,229 | 182,755 | 191,310 | 7,305 | 135,225 | 271,827 | 149,502 | 224,457 |
| **Actuarial present value of accumulated plan benefits** | $ 81,185,661 | $ 2,028,581 | $ 14,863,310 | $ 12,064,653 | $ 5,223,138 | $ 12,164,468 | $ 2,992,326 | $ 10,678,402 |

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF ACCUMULATED PLAN BENEFITS**
**JANUARY 1, 2008**

| | York Plan 18 (028) | York Plan 19 (029) | York Plan 23 (031) | Participating Plans' Total |
|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits** | | | | |
| Vested benefits | | | | |
| Participants not currently receiving payments | $ 3,302,947 | $ 2,225,541 | $ 2,389,020 | $ 674,543,156 |
| Other participants | 6,115,169 | 7,396,082 | 3,213,648 | 861,236,787 |
| | 9,418,116 | 9,621,623 | 5,602,668 | 1,535,779,943 |
| Nonvested benefits | 74,079 | 1,183,496 | 229,864 | 87,264,611 |
| **Actuarial present value of accumulated plan benefits** | $ 9,492,195 | $ 10,805,119 | $ 5,832,532 | $ 1,623,044,554 |

See the notes to the financial statements

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS**
**YEAR ENDED JANUARY 1, 2009**

| | Johnson Controls Pension (001) | Battery Division Hourly (016) | Battery Division Owosso UAW (017) | Cadiz (030) | Greenfield (032) | Techno Trim (046) | Shelbyville (053) |
|---|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits at January 1, 2008** | $ 1,138,829,397 | $ 215,410,781 | $ 39,851,138 | $ 14,561,011 | $ 11,770,947 | $ 2,460,105 | $ 570,046 |
| Increase (decrease) attributed to: | | | | | | | |
| Interest accumulation | 88,815,395 | 16,788,220 | 3,034,871 | 1,140,420 | 918,458 | 193,767 | 43,959 |
| Benefits paid | (58,397,351) | (11,334,100) | (3,905,635) | (623,519) | (591,836) | (77,537) | (41,913) |
| Assumption changes | 2,741,377 | 358,490 | 145,519 | 30,175 | 20,606 | 4,014 | 1,500 |
| Plan amendments | 7,353 | 318,349 | - | 1,042,009 | 152,606 | - | - |
| Plan merger (Note 9) | - | - | 40,925,225 | - | - | - | - |
| Other * | 58,361,100 | 5,037,319 | 252,860 | 808,547 | 178,947 | 126,817 | 55,531 |
| Net increase (decrease) | 91,527,874 | 11,168,278 | 40,452,840 | 2,397,632 | 678,781 | 247,061 | 59,077 |
| **Actuarial present value of accumulated plan benefits at January 1, 2009** | $ 1,230,357,271 | $ 226,579,059 | $ 80,303,978 | $ 16,958,643 | $ 12,449,728 | $ 2,707,166 | $ 629,123 |

* The "Other Changes" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefit accruals (if any) and those items of plan experience that are not associated with plan asset performance.

See the notes to the financial statements.

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS**
**YEAR ENDED JANUARY 1, 2009**

| | ASG Production (006) | West Carrollton (130) | York Plan 4 (018) | York Plan 6 (019) | York Plan 7 (020) | York Plan 12 (023) | York Plan 13 (024) |
|---|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits at January 1, 2008** | $ 2,307,674 | $ 1,413,251 | $ 81,185,661 | $ 2,028,581 | $ 14,863,310 | $ 5,223,138 | $ 12,164,468 |
| Increase (decrease) attributed to: | | | | | | | |
| Interest accumulation | 180,048 | 111,359 | 6,189,130 | 158,385 | 1,171,563 | 413,450 | 947,295 |
| Benefits paid | (116,382) | (43,372) | (7,792,991) | (99,451) | (446,118) | (112,192) | (659,247) |
| Assumption changes | 5,742 | 4,146 | 152,499 | 4,518 | 29,333 | 11,943 | 24,253 |
| Plan amendments | 60,498 | - | - | - | - | - | - |
| Plan merger (Note 9) | - | - | - | - | - | - | - |
| Other * | 494,591 | 508,886 | 843,228 | (10,877) | 461,054 | 272,597 | (130,737) |
| Net increase (decrease) | 624,497 | 581,019 | (608,134) | 52,575 | 1,215,832 | 585,798 | 181,564 |
| **Actuarial present value of accumulated plan benefits at January 1, 2009** | $ 2,932,171 | $ 1,994,270 | $ 80,577,527 | $ 2,081,156 | $ 16,079,142 | $ 5,808,936 | $ 12,346,032 |

* The "Other Changes" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefit accruals (if any) and those items of plan experience that are not associated with plan asset performance.

See the notes to the financial statements

**JOHNSON CONTROLS, INC.**
**PENSION PLANS**
**STATEMENTS OF CHANGES IN ACCUMULATED PLAN BENEFITS**
**YEAR ENDED JANUARY 1, 2009**

| | York Plan 14 (025) | York Plan 15 (026) | York Plan 18 (028) | York Plan 19 (029) | York Plan 23 (031) | Participating Plans' Total |
|---|---|---|---|---|---|---|
| **Actuarial present value of accumulated plan benefits at January 1, 2008** | $ 2,992,326 | $ 10,678,402 | $ 9,492,195 | $ 10,805,119 | $ 5,832,532 | $ 1,582,440,082 |
| Increase (decrease) attributed to: | | | | | | |
| Interest accumulation | 237,809 | 834,324 | 743,975 | 851,830 | 455,961 | 123,230,219 |
| Benefits paid | (40,192) | (508,486) | (392,555) | (320,655) | (271,263) | (85,774,795) |
| Assumption changes | 6,672 | 20,174 | 18,574 | 20,944 | 12,723 | 3,613,202 |
| Plan amendments | - | - | - | 88,863 | - | 1,669,678 |
| Plan merger (Note 9) | - | - | - | - | - | 40,925,225 |
| Other * | 121,171 | 147,002 | 417,143 | 448,131 | 603,353 | 68,996,663 |
| Net increase (decrease) | 325,460 | 493,014 | 787,137 | 1,089,113 | 800,774 | 152,660,192 |
| **Actuarial present value of accumulated plan benefits at January 1, 2009** | $ 3,317,786 | $ 11,171,416 | $ 10,279,332 | $ 11,894,232 | $ 6,633,306 | $ 1,735,100,274 |

* The "Other Changes" component represents the normal operation of the pension plan. It consists primarily of the increase due to ongoing benefit accruals (if any) and those items of plan experience that are not associated with plan asset performance.

See the notes to the financial statements.

# JOHNSON CONTROLS, INC.
# PENSION PLANS
# NOTES TO THE FINANCIAL STATEMENTS
# YEARS ENDED DECEMBER 31, 2009 AND 2008

## NOTE 1 – DESCRIPTION OF PLANS

The following description of Johnson Controls, Inc. pension plans (the "Plans") provides only general information. Participants should refer to the plan documents provided to all participants for a more complete description of the Plans' provisions.

### GENERAL

The Plans are defined benefit pension plans that cover eligible employees of Johnson Controls, Inc. and designated affiliates ("Company"). The Plans are subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA").

The Plans are administered by the Employee Benefit Policy Committee appointed by the Company. Hewitt Associates LLC contracts to be responsible for plan administration and is the third-party administrator.

Plans included in the financial statements are as follows (Plan numbers indicate Master Trust account numbers, not Plan numbers filed with the Internal Revenue Service ("IRS")). Refer to Note 9 for a discussion of Plan mergers occurring at December 31, 2009 and 2008.

| Name of Plan | Eligible Employees (Subject to Other Plan Requirements) |
|---|---|
| Johnson Controls Pension Plan<br>(Johnson Controls Pension – Plan 001) | Salaried, nonunion production employees of the Company and Vintec; certain salaried employees of the East York, Pennsylvania and Albany, New York plants; Employees subject to the terms and conditions of the Collective Bargaining Agreement between the Company and the Yorkco Salaried Employees' Association |
| Johnson Controls Pension Plan<br>Battery Division Hourly Employees<br>(Battery Division Hourly – Plan 016) | Hourly employees of the Company's Power Solutions business, except hourly employees in the Company's Power Solutions business Owosso, Michigan plant, who are covered by another defined benefit pension plan |

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

# JOHNSON CONTROLS, INC.
# PENSION PLANS
# NOTES TO THE FINANCIAL STATEMENTS
# YEARS ENDED DECEMBER 31, 2009 AND 2008

| Name of Plan | Eligible Employees (Subject to Other Plan Requirements) |
|---|---|
| Johnson Controls Pension Plan<br>Battery Division Owosso UAW Employees<br>(Battery Division Owosso UAW – Plan 017) | Hourly employees of the Company's Power Solutions business Owosso, Michigan plant; Building Efficiency plant in Lexington, Kentucky; Hoover's Automotive Systems Group's Adrian, Michigan, Chester, Pennsylvania, and Vincennes, Indiana plants, Whitmore Lake, Michigan plant; Hoover's Engineered Plastics Division Erie, Pennsylvania plant; Production employees of the Company's Milwaukee, Wisconsin production facilities, except production employees of the Company's Power Solutions business, who are covered by another defined benefit pension plan; Production hourly employees of the Company's Building Efficiency business Goshen, Indiana plant; Production hourly employees of the Company's Building Efficiency business Watertown, Wisconsin plant; Union hourly production and maintenance employees of the Mt. Clemens, Michigan facility; Union hourly production and maintenance employees of the Plymouth, Michigan seating facility; Hourly employees of Hoover's Automotive Systems Group, Oberlin, Ohio plant; Hourly employees of Hoover's Automotive Systems Group, Johns Creek, Georgia plant; Union and nonunion hourly employees of the Madisonville, Kentucky and Medina, Ohio plants; and Elyria and Miller Picking for employees represented by the United Steelworkers plants |
| Automotive Systems Group Cadiz<br>Retirement Income Plan<br>(Cadiz – Plan 030) | Hourly employees of Hoover's Automotive Systems Group Cadiz, Kentucky plant |
| Automotive Systems Group<br>Greenfield Plant Retirement Income Plan<br>(Greenfield – Plan 032) | Hourly employees of Hoover's Automotive Systems Group Greenfield, Ohio plant |
| TechnoTrim, Inc. Pension Plan<br>for Salaried Employees<br>(TechnoTrim – Plan 046) | Salaried employees of TechnoTrim |
| Shelbyville Union Pension Plan<br>(Shelbyville – Plan 053) | Union production employees of the Company's Shelbyville, Kentucky plant |
| Johnson Controls Automotive Systems<br>Group Production Employees Pension<br>Plan<br>(ASG Production – Plan 006) | Hourly employees of the Battle Creek, Michigan; Oklahoma City, Oklahoma; Earth City, Missouri; and Shreveport, Louisiana plants |
| Johnson Controls Pension Plan<br>Automotive Systems Group/<br>West Carrollton Production Employees<br>(West Carrollton – Plan 007) | Union production employees of the Company's West Carrollton, Ohio plant |

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

# JOHNSON CONTROLS, INC.
# PENSION PLANS
# NOTES TO THE FINANCIAL STATEMENTS
# YEARS ENDED DECEMBER 31, 2009 AND 2008

| Name of Plan | Eligible Employees (Subject to Other Plan Requirements) |
|---|---|
| York International Corporation Pension Plan Number Four (UAW) (York Plan 4 – Plan 018) | Employees subject to the terms and conditions of the Collective Bargaining Agreement between the Company and the International Union, United Automobile, Aerospace, and Agricultural Implement Workers of America, UAW and Local Union No. 1872 |
| York International Corporation Pension Plan Number Six (Field Wage) (York Plan 6 – Plan 019) | Certain nonunion field wage employees of the Engineered Systems Division |
| York International Corporation Pension Plan Number Seven (Norman Plant) (York Plan 7 – Plan 020) | Nonunion hourly employees of the Norman, Oklahoma plant |
| York International Corporation Pension Plan Number Twelve (York Plan 12 – Plan 023) | Nonunion employees of the Frigid Coil East division, Tempmaster and former salaried employees of the Portland, Oregon and Salisbury, Maryland facilities |
| York International Corporation Pension Plan Number Thirteen (York Plan 13 – Plan 024) | Non-bargaining employees in the Frigid Coil West, Imeco and Frick divisions |
| York International Corporation Pension Plan Number Fourteen (York Plan 14 – Plan 025) | Nonunion employees at the Engineered Systems and the RECO Refrigeration San Antonio, Texas plants |
| York International Corporation Pension Plan Number Fifteen (York Plan 15 – Plan 026) | Union employees of the Frick Factory |
| York International Corporation Pension Plan Number Eighteen (York Plan 18 – Plan 028) | Salaried employees of Evcon Industries, Inc. |
| York International Corporation Pension Plan Number Nineteen (York Plan 19 – Plan 029) | Hourly employees of Evcon Industries, Inc., including employees covered by the Collective Bargaining Agreement with the International Association of Machinists and Aerospace Workers AFL-CIO District 70, Local 2799 |
| York International Corporation Miller-Picking Pension Plan (York Plan 23 – Plan 031) | Nonunion employees of the Miller-Picking division |

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

VESTING

One year of vesting service is credited each year a participant completes 1,000 or more hours of service. A participant receives a year of vesting service for each 12 months of employment by the Company or an affiliated company beginning on the first day of the month of hiring and ending on the severance date. The participant also receives partial vesting service for less than a 12-month period. A break in service of less than 12 months also counts as vesting service. The participant is fully vested after five years of vesting service. For employees hired by Johnson Controls after the acquisition of Findlay Industries West Carrollton, Ohio facility, the hire date with Findlay Industries is used to credit vesting service.

FUNDING POLICY

The Company's funding policy is to make contributions to the Plans in amounts that meet or exceed the minimum amounts required by ERISA. The Company's contributions for the years ended December 31, 2009 and 2008 met or exceeded the ERISA required minimum amounts.

Although it has not expressed any intention to do so, the Company has the right under the Plans to discontinue its contributions at any time and to terminate the Plans subject to the provisions set forth in ERISA.

ADMINISTRATIVE EXPENSES

Administrative expenses are paid by the Plans, as allowed by the Plans' provisions, with all remaining expenses paid by the Company.

## NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

BASIS OF PRESENTATION

The accompanying financial statements are prepared on the accrual basis of accounting. Certain reclassifications have been made to the prior year financial statements to conform to the current year presentation.

USE OF ESTIMATES

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets, liabilities and changes therein, disclosure of contingent assets and liabilities, and the actuarial present value of accumulated plan benefits at the date of the financial statements. Actual results could differ from those estimates.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

JOHNSON CONTROLS, INC. MASTER PENSION TRUST

The Company has entered into a Master Pension Trust agreement (the "Master Trust") with U.S. Bank, N.A. (the "Trustee"). Under the agreement, the Plans participate under a master trust arrangement whereby all the assets of the plans are pooled and invested in one or more investment accounts.

The Master Trust holds investments in short-term securities, U.S. government securities, bonds, mutual and pooled equity funds and common stocks as of December 31, 2009 and 2008.

The Company requires collateral of 102% of the value of any securities lending transactions.

Each Plan's interest in the investments of the Master Trust is evidenced by units of participation, as no Plan has a right, title or ownership of any of the specific assets in the Master Trust. In accordance with the Master Trust agreement, net investment income of the Master Trust is prorated to each participating Plan in proportion to the number of units held by each Plan. Plan participation in the Master Trust is adjusted as required to reflect benefit payments to the Plans' participants and for Company contributions.

The following represents the percentage interest in the Master Trust by Plan:

| | December 31, | |
|---|---|---|
| | **2009** | **2008** |
| Johnson Controls Pension (001) | 71.0% | 69.7% |
| Battery Division Hourly (016) | 12.6% | 12.8% |
| Battery Division Owosso UAW (017) | 6.7% | 5.8% |
| Cadiz (030) | 0.0% | 1.0% |
| Greenfield (032) | 0.0% | 0.8% |
| TechnoTrim (046) | 0.2% | 0.2% |
| Shelbyville (053) | 0.0% | 0.1% |
| ASG Production (006) | 0.2% | 0.2% |
| West Carrollton (130) | 0.0% | 0.1% |
| JCIM US, LLC (035)* | 0.2% | 0.0% |
| York Plan 4 (018) | 4.3% | 4.4% |
| York Plan 6 (019) | 0.1% | 0.1% |
| York Plan 7 (020) | 1.0% | 0.9% |
| York Plan 12 (023) | 0.3% | 0.3% |
| York Plan 13 (024) | 1.0% | 1.0% |
| York Plan 14 (025) | 0.2% | 0.2% |
| York Plan 15 (026) | 0.6% | 0.7% |
| York Plan 18 (028) | 0.6% | 0.6% |
| York Plan 19 (029) | 0.7% | 0.7% |
| York Plan 23 (031) | 0.3% | 0.4% |
| Total | 100.0% | 100.0% |

*The JCIM US, LLC plan, which is included in the Master Trust, has a June 30 year end. As such, a separate report is prepared for each plan year.

The Statements of Financial Position as of December 31, 2009 and 2008 and the Statement of Operations and Changes in Participating Plans' Equity of the Johnson Controls, Inc. Master Pension Trust for the year ended December 31, 2009 are presented in Note 10.

DATE OF MANAGEMENT'S REVIEW

Management has evaluated subsequent events through September 15, 2010, the date which the financial statements were available to be issued.

## NOTE 3 – INVESTMENTS

Assets of the Plans, with the exception of the employer contribution receivable and accrued administrative expenses, as shown in the Statements of Net Assets Available for Benefits, investment income as shown in the Statements of Changes in Net Assets Available for Benefits, and the Master Trust financial information appearing in Note 10, have been derived from information prepared and certified as complete and accurate by the Trustee, in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

## NOTE 4 – ACTUARIAL PRESENT VALUE OF ACCUMULATED PLAN BENEFITS

Accumulated plan benefits are those future periodic payments that are attributable under the Plans' benefit provisions based on employees' years of service. Benefits to be provided via annuity contracts excluded from plan assets are excluded from accumulated plan benefits. The actuarial present value of accumulated plan benefits is determined by an actuary and is the amount that results from applying actuarial assumptions to adjust the accumulated plan benefits to reflect the time value of money and the probability of payment between the valuation date and the expected date of payment. The actuarial assumptions used for the January 1, 2009 and 2008 valuations are based on the Unit Credit Actuarial Cost Method for all Plans. The current actuarial assumptions are based on the presumption that the Plans will continue. If the Plans were to terminate, different actuarial assumptions and other factors might be applicable in determining the actuarial present value of accumulated plan benefits.

The actuarial present value of accumulated plan benefits is determined by an actuary from Hewitt Associates LLC.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

The significant actuarial assumptions used in the valuations at January 1, 2009 and 2008 were:

| Description | Assumption | |
|---|---|---|
| Retirement Age | Varies based on the probability of retirement at social security retirement age of 65 to 67, with 100% at age 70. | |
| Mortality Rates | 2009: 2009 Static Mortality Table for annuitants and non-annuitants.<br>2008: 2008 Static Mortality Table for annuitants and non-annuitants. | |
| Withdrawal Rates | A graduated scale from higher to lower as years of service increase. | |
| Disability Rates | A graduated scale from lower to higher as age advances. | |
| Interest Rates | 2009:<br>Based on the full Yield Curve with a two month lookback (October 2008 yield curve), with sample rates as follows:<br>Duration 0.5 – 5.45%<br>Duration 5.5 – 8.25%<br>Duration 10.5 – 8.87%<br>Duration 15.5 – 8.65%<br>Duration 20.5 – 8.11 %<br>Duration 25.5 – 7.71%<br>Duration 30.5 – 7.46% | 2008:<br>Based on segment rates without regard to the three-year phase in:<br>1st Segment Rate – 5.31%<br>2nd Segment Rate – 5.92%<br>3rd Segment Rate – 6.43% |

## NOTE 5 – TAX STATUS

The Company has received favorable determination letters from the IRS as to the qualified status of the Plans under the Internal Revenue Code ("IRC") and these Plans are, therefore, exempt from federal income taxes. Some of the Plans have been amended since receiving the determination letters. However, the Plan administrator believes that all the Plans are currently designed and being operated in compliance with applicable requirements of the IRC.

## NOTE 6 – PLAN TERMINATION

The Company anticipates and believes the Plans will continue without interruption but reserves the right to discontinue any Plan at any time in accordance with the respective plan provisions and provisions set forth in ERISA. In the event of a Plan termination or permanent discontinuance of contributions to a Plan, the assets of the Plan will be distributed in accordance with the requirements of 29 CFR 4044 of ERISA.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

Certain benefits under the Plans are insured by the Pension Benefit Guaranty Corporation ("PBGC"), a U.S. government agency, in the event of Plan termination. The net assets of the Plans will be allocated as prescribed by ERISA and its related regulations, generally to provide the following benefits in the order indicated:

1. Benefits attributable to employee contributions, taking into account those paid out before termination.
2. Annuity benefits that former employees or their beneficiaries have been receiving for at least three years, or that employees eligible to retire for that three-year period would have been receiving if they had retired with benefits in the normal form of annuity under the Plans. The priority amount is limited to the lowest benefit that was payable (or would have been payable) during those three years. The amount is further limited to the lowest benefit that would be payable under Plan provisions in effect at any time during the five years preceding Plan termination.
3. Other vested benefits insured by the PBGC up to the applicable limitations.
4. All other vested benefits (not insured by the PBGC).
5. All non-vested benefits.

Certain benefits under the Plans are insured by the PBGC if the Plans terminate. Generally, the PBGC guarantees most vested normal age retirement benefits, early retirement benefits, and certain disability and survivor's pensions. However, the PBGC does not guarantee all types of benefits under the Plans, and the amount of benefit protection is subject to certain limitations. Vested benefits under the Plans are guaranteed at the level in effect on the date of the Plans' termination. However, there is a statutory ceiling, which is adjusted periodically, on the amount of an individual's monthly benefit that the PBGC guarantees. For Plan terminations occurring during 2010, that ceiling is $4,500 per month. That ceiling applies to those pensioners who elect to receive their benefits in the form of a single-life annuity and are at least 65 years old at the time of retirement or Plan termination (whichever comes later). For younger annuitants, or for those who elect to receive their benefits in some form more valuable than a single-life annuity, the corresponding ceilings are actuarially adjusted downward.

Whether all participants receive their benefits should a Plan terminate at some future time will depend on the sufficiency, at that time, of the Plan's net assets to provide for accumulated benefit obligations and may also depend on the financial condition of the Plan's sponsor and the level of benefits guaranteed by the PBGC.

## NOTE 7 – PARTY-IN-INTEREST TRANSACTIONS

Transactions involving the account administered by the Trustee and the funds of the Russell Investment Group, JP Morgan Chase & Co., Baird Funds, Goldman Sachs and Barclays PLC, the investment managers for the Plans, are considered party-in-interest transactions. These transactions are not, however, considered prohibited transactions under 29 CFR 408(b) of the ERISA regulations.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

## NOTE 8 – RISKS AND UNCERTAINTIES

The Plans' investments are exposed to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investments and the level of uncertainty related to changes in the values of investments, it is at least reasonably possible that changes in risks in the near term would materially affect the amounts reported in the Statements of Net Assets Available for Benefits and the Statements of Changes in Net Assets Available for Benefits.

The actuarial present value of accumulated plan benefits is reported based on certain assumptions pertaining to interest rates, inflation rates and employee compensation and demographics. Due to the changing nature of these assumptions, it is at least reasonably possible that changes in these assumptions will occur in the near term and due to the uncertainties inherent in setting assumptions, that the effect of such changes could be material to the value of accumulated plan benefits.

## NOTE 9 – PLAN MERGER

Effective December 31, 2009, the Shelbyville Union Pension Plan merged into the Johnson Controls Pension Plan. Also, the Automotive Systems Group Cadiz Retirement Income Plan, the Automotive Systems Group Greenfield Plant Retirement Income Plan and the Johnson Controls Pension Plan Automotive Systems Group/West Carrollton Production Employees merged into the Johnson Controls Pension Plan Battery Division Owosso UAW Employees.

Effective December 31, 2008, the Johnson Controls Pension Plan System Products Division/Goshen Production Employees, the Johnson Controls Pension Plan Systems Products Division/Watertown Production Employees, the Automotive Systems Group Mt. Clemens Production Employees Pension Plan, the Johnson Controls Pension Plan Automotive Systems Group/Port Street Union, the Johnson Controls Pension Plan Automotive Systems Group/Oberlin Production Employees, the Johnson Controls Pension Plan Automotive Systems Group/Johns Creek Production Employees and the York International Corporation Pension Plan Number 8 merged into the Johnson Controls Pension Plan Battery Division Owosso UAW Employees.

As a result of the December 31, 2008 Plan mergers, the actuarial present value of accumulated plan benefits for the Johnson Controls Pension Plan Battery Division Owosso UAW Employees at January 1, 2009 increased by $40,925,225 because of the transfer of accumulated plan benefits from each of the seven merged Plans.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

# JOHNSON CONTROLS, INC.
# PENSION PLANS
# NOTES TO THE FINANCIAL STATEMENTS
# YEARS ENDED DECEMBER 31, 2009 AND 2008

## NOTE 10 – JOHNSON CONTROLS, INC. MASTER PENSION TRUST

The Statements of Financial Position as of December 31, 2009 and 2008 and the Statement of Operations and Changes in Participating Plans' Equity for the year ended December 31, 2009 for the Master Trust are presented in the following tables.

### STATEMENTS OF FINANCIAL POSITION

| | December 31, | |
|---|---|---|
| | 2009 | 2008 |
| **Assets** | | |
| Cash & cash equivalents | $ 69,194,853 | $ 18,438,490 |
| U.S. government and federal agency securities | 231,451,189 | 276,068,765 |
| Corporate issues | 176,230,541 | 189,654,441 |
| Municipal issues | 907,006 | - |
| Foreign issues | 33,287,700 | 27,807,091 |
| Total fixed income fund | 511,071,289 | 511,968,787 |
| Domestic stocks | 500,294,189 | 324,029,187 |
| Foreign stocks | 413,961,832 | 285,716,846 |
| Domestic growth and value stocks | 309,145,202 | 204,397,850 |
| Total equity investments | 1,223,401,223 | 814,143,883 |
| Investment in real estate | 89,857,772 | 146,656,352 |
| Hedge fund | 88,655,565 | 84,358,367 |
| Due from brokers for securities sold | 8,086,821 | 129,237 |
| Accrued dividends and interest receivable | 4,007,134 | 5,325,083 |
| | $ 1,925,079,804 | $ 1,562,581,709 |
| **Liabilities and Participating Plans' Equity** | | |
| Due to brokers for securities purchased | 1,683,004 | 338,730 |
| Participating plans' equity | 1,919,300,521 | 1,562,242,979 |
| JCIM US, LLC Pension Plan's equity* | 4,096,279 | - |
| Total equity | 1,923,396,800 | 1,562,242,979 |
| | $ 1,925,079,804 | $ 1,562,581,709 |

* The JCIM US, LLC plan, which is included in the Master Trust, has a June 30 year end. As such, a separate report is prepared for each plan year.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

# JOHNSON CONTROLS, INC.
# PENSION PLANS
# NOTES TO THE FINANCIAL STATEMENTS
# YEARS ENDED DECEMBER 31, 2009 AND 2008

## JOHNSON CONTROLS, INC.
## MASTER PENSION TRUST
## STATEMENT OF OPERATIONS AND CHANGES IN PARTICIPATING PLANS' EQUITY

| | Year Ended December 31, 2009 |
|---|---|
| Investment income | |
| Net gain on fixed income fund | $ 30,491,868 |
| Net gain on equity investments | 322,929,809 |
| Net gain on hedge fund | 4,297,198 |
| Net loss on investment in real estate | (58,362,111) |
| | 299,356,764 |
| Contributions received from participating plans | 161,350,000 |
| Total increases | 460,706,764 |
| Withdrawals by participating plans for benefit payments, asset transfers and plan expenses | 94,128,400 |
| Administrative expenses | 5,424,543 |
| Total decreases | 99,552,943 |
| Net increase in participating plans' equity | 361,153,821 |
| Participating plans' equity | |
| Beginning of year | 1,562,242,979 |
| Less: JCIM US, LLC Pension Plan's equity* | (4,096,279) |
| End of year | $ 1,919,300,521 |

* The JCIM US, LLC plan, which is included in the Master Trust, has a June 30 year end. As such, a separate report is prepared for each plan year.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

# JOHNSON CONTROLS, INC.
# PENSION PLANS
# NOTES TO THE FINANCIAL STATEMENTS
# YEARS ENDED DECEMBER 31, 2009 AND 2008

Investments that represent 5% or more of the fair value of the Plans' net assets as of December 31, 2009 and 2008 are:

| Investments | December 31, 2009 | December 31, 2008 |
|---|---|---|
| Russell Non- U.S. Equity, 2,694,499 and 2,585,066 units, respectively | $397,695,398 | $282,782,664 |
| Goldman Sachs Fund, 1,866,773 and 2,162,502 units, respectively | 237,214,370 | 247,775,980 |
| Baird Fixed Income Fund, 1,585,735 and 1,988,900 units, respectively | 219,699,274 | 243,784,086 |
| JP Morgan 500 Index, 1,514,129 and 1,211,632 units, respectively | 163,446,916 | 102,172,607 |
| JP Morgan Enhanced Index, 1,808,243 and 1,495,828 units, respectively | 155,039,303 | 102,683,042 |
| Russell Tacoma Growth Fund, 1,457,321 and 1,335,707 units, respectively | 154,671,612 | 102,974,745 |
| Russell U.S. Value Fund, 1,495,515 and 1,268,152 units, respectively | 154,473,590 | 101,423,105 |
| Johnson Controls – Columbus, 922,755 units | 107,308,423 | * |
| Johnson Controls – Thompson, Siegel & Walmsley LLC Fund, 922,755 units | 103,301,208 | * |
| Russell Real Estate Fund, 1,037,869 units | * | 146,656,352 |
| Barclays Fund, 1,992,776 units | * | 123,147,787 |
| Johnson Controls Select Invest, 1,000,000 units | * | 84,358,367 |

* Asset was not greater than 5% in the respective year.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

## NOTE 11 – FAIR VALUE MEASUREMENTS

ASC 820, "Fair Value Measurements and Disclosures," defines fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. ASC 820 also establishes a three-level fair value hierarchy that prioritizes information used in developing assumptions when pricing an asset or liability as follows:

*Level 1:* Observable inputs such as quoted prices in active markets;

*Level 2:* Inputs, other than quoted prices in active markets, that are observable either directly or indirectly; and

*Level 3:* Unobservable inputs where there is little or no market data, which requires the reporting entity to develop its own assumptions.

ASC 820 requires the use of observable market data, when available, in making fair value measurements. When inputs used to measure fair value fall within different levels of the hierarchy, the level within which the fair value measurement is categorized is based on the lowest level input that is significant to the fair value measurement.

The following table sets forth by level, within the fair value hierarchy, the Master Trust's assets at fair value as of December 31, 2009 and 2008:

| | Assets at Fair Value as of December 31, 2009 | | | |
|---|---|---|---|---|
| | Level 1 | Level 2 | Level 3 | Total |
| Fixed Income Fund | $ 511,071,289 | $ - | $ - | $ 511,071,289 |
| Equity Investments | 1,223,401,223 | - | - | 1,223,401,223 |
| Investment in Real Estate | - | - | 89,857,772 | 89,857,772 |
| Hedge Fund | - | - | 88,655,565 | 88,655,565 |
| Total assets at fair value | $ 1,734,472,512 | $ - | $ 178,513,337 | $ 1,912,985,849 |

| | Assets at Fair Value as of December 31, 2008 | | | |
|---|---|---|---|---|
| | Level 1 | Level 2 | Level 3 | Total |
| Fixed Income Fund | $ 511,968,787 | $ - | $ - | $ 511,968,787 |
| Equity Investments | 814,143,883 | - | - | 814,143,883 |
| Investment in Real Estate | - | - | 146,656,352 | 146,656,352 |
| Hedge Fund | - | - | 84,358,367 | 84,358,367 |
| Total assets at fair value | $ 1,326,112,670 | $ - | $ 231,014,719 | $ 1,557,127,389 |

Following is a description of the valuation methodologies used for assets measured at fair value.

*Fixed Income Fund:* The fair value for the Fixed Income Fund is determined by indirect quoted market prices. The value of the fund is not published, but the investment manager reports daily the underlying holdings. The underlying holdings are direct quoted market prices on liquid and regulated financial exchanges.

*Equity Investments:* The fair value for the Equity Investments is determined by indirect quoted market prices. The value of the fund is not published, but the investment manager reports daily the underlying holdings. The underlying holdings are direct quoted market prices on liquid and regulated financial exchanges.

*Investment in Real Estate:* The fair value for the investments in the Russell Real Estate Fund is valued by a fund manager, Russell Private Real Estate. Russell values the investment the same way as other stocks that trade on organized public exchanges. The prices of the shares represent the present values of expected future rent income. Assumptions used to revalue the properties are updated every quarter and independent valuations are obtained to support valuation models. Rockwood Real Estate is in the early stages of funding, and therefore properties are currently recorded at cost. The partnership manager regularly updates valuations to ensure the carrying value approximates the fair value. The Company believes this is the appropriate methodology to obtain the fair value of the assets.

*Hedge Fund:* The fair value of the Hedge Fund is accounted for by Union Bancaire Privée's custodian, Citibank. Citibank obtains valuation from underlying managers based on market quotes for the most liquid assets and alternative methods for assets that do not have sufficient trading activity to derive prices. The Company and Union Bancaire Privée reviewed the methods used by the underlying managers to value the assets held at Citibank. The Company believes that the appropriate methodology is used to obtain valuations that are as close as possible to the fair value of the assets.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date. The fair values of other assets and liabilities approximate their carrying values.

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

The table below sets forth a summary of changes in the fair value of the Master Trust's Level 3 assets for the years ended December 31, 2009 and 2008.

| | Level 3 Assets Year Ended December 31, 2009 | |
|---|---|---|
| | Investment in Hedge Fund | Investment in Real Estate |
| Balance, January 1, 2009 | $ 84,358,367 | $ 146,656,352 |
| Purchases and redemptions | - | 1,563,530 |
| Unrealized gains (losses) | 20,456,837 | (58,036,760) |
| Realized losses | (16,159,639) | (325,350) |
| Balance, December 31, 2009 | $ 88,655,565 | $ 89,857,772 |

| | Level 3 Assets Year Ended December 31, 2008 | |
|---|---|---|
| | Investment in Hedge Fund | Investment in Real Estate |
| Balance, January 1, 2008 | $ - | $ 115,500,000 |
| Purchases and redemptions | 100,000,000 | - |
| Unrealized gains (losses) | (15,641,633) | 31,156,352 |
| Balance, December 31, 2008 | $ 84,358,367 | $ 146,656,352 |

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

**COLEMAN & WILLIAMS,** LTD.
*A Professional Services Firm*

# SUPPLEMENTAL SCHEDULES

316 North Milwaukee Street, Suite 350
Milwaukee, Wisconsin 53202
Telephone 414.278.0170
Facsimile 414.278.1169

JOHNSON CONTROLS, INC.
PENSION PLANS
SUPPLEMENTAL SCHEDULE
SCHEDULE H, LINE 4i - SCHEDULE OF ASSETS (HELD AT END OF YEAR)
JOHNSON CONTROLS, INC. MASTER PENSION TRUST, EIN: 39-0380010
DECEMBER 31, 2009

| | Identity of Issue, Borrower, Lessor, or Similar Party | Description of Investment (Including Maturity Date, Rate of Interest, Collateral Par or Maturity Value) | Costs of Asset | Current Value |
|---|---|---|---|---|
| * | Russell Tacoma Growth Fund | 1,457,321 Units | $ 148,465,402 | $ 154,671,612 |
| * | Baird Tactical | 381,516 Units | 41,612,867 | 46,148,804 |
| * | Johnson Controls Columbus | 922,755 Units | 92,275,518 | 107,308,422 |
| * | Goldman Sachs | 1,866,773 Units | 193,788,983 | 237,214,370 |
| * | Johnson Controls Rockwood | 48,555 Units | 4,855,527 | 4,855,527 |
| * | Selectinvest Institutional ARV LTD. | 1,000,000 Units | 100,000,001 | 88,655,565 |
| * | Thompson, Siegel & Walmsley LLC | 922,755 Units | 92,275,518 | 103,301,208 |
| * | Johnson Controls Cash Fund | 1,169 Units | 5,658,243 | 5,884,567 |
| * | Baird Fixed Income | 1,585,735 Units | 176,654,889 | 219,699,274 |
| * | JP Morgan Enhanced Index | 1,808,243 Units | 168,857,433 | 155,039,302 |
| * | JP Morgan 500 Index | 1,514,129 Units | 146,690,962 | 163,446,916 |
| * | Russell Non-U.S. Equity | 2,694,499 Units | 357,437,453 | 397,695,398 |
| * | Russell Real Estate Fund | 1,009,835 Units | 112,380,203 | 85,002,245 |
| * | Russell U.S. Value Fund | 1,495,515 Units | 151,831,960 | 154,473,590 |
| | **Totals** | | **$ 1,792,784,959** | **$ 1,923,396,800** |

* Indicates party-in-interest.

JOHNSON CONTROLS, INC.
PENSION PLANS
SUPPLEMENTAL SCHEDULE
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
JOHNSON CONTROLS, INC. MASTER PENSION TRUST, EIN: 39-0380010
DECEMBER 31, 2009

| Identity of Party Involved | Description of Asset (Include Interest Rate and Maturity in Case of a Loan) | Purchase Price | Selling Price | Lease Rental | Expense Incurred with Transaction | Cost of Asset | Current Value of Asset on Transaction Date | Net Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|
| **Single Transaction** | | | | | | | | |
| Barclays | 1,804,166 units | | $ 130,023,489 | | | $ 161,739,108 | $ 70 per unit | $ (31,715,619) |
| **Series of Transactions** | | | | | | | | |
| Barclays | 567,998 units | $ 30,000,001 | | | | 30,000,001 | 53 per unit | - |
| | 2,560,773 units | | 184,551,035 | | | 229,277,537 | 70 per unit | (44,726,502) |
| Total | 3,128,771 | $ 30,000,001 | $ 184,551,035 | | | $ 259,277,538 | | $ (44,726,502) |
| Columbus Circle Investors | 922,755 units | 92,275,520 | | | | 92,275,520 | 100 per unit | - |
| Thompson, Siegel & Walmsley LLC | 922,755 units | 92,275,520 | | | | 92,275,520 | 100 per unit | - |
| Goldman Sachs | 160,655 units | 20,000,002 | | | | 20,000,002 | 124 per unit | - |
| | 77,657 units | 10,000,002 | | | | 10,000,002 | 129 per unit | - |
| | 35,097 units | | 4,000,002 | | | 3,529,986 | 114 per unit | 470,016 |
| | 35,346 units | | 4,000,000 | | | 3,555,056 | 113 per unit | 444,944 |
| | 151,093 units | | 15,999,997 | | | 15,196,736 | 106 per unit | 803,261 |
| | 312,504 units | | 36,000,000 | | | 31,431,360 | 115 per unit | 4,568,640 |
| Total | 772,352 | $ 30,000,004 | $ 59,999,999 | | | $ 83,713,142 | | $ 6,286,861 |
| Baird Fixed Income | 7,282 units | 892,546 | | | | 892,546 | 123 per unit | - |
| | 3,140 units | 383,295 | | | | 383,295 | 122 per unit | - |
| | 3,116 units | 377,053 | | | | 377,053 | 121 per unit | - |
| | 4,588 units | 569,969 | | | | 569,969 | 124 per unit | - |
| | 2,095 units | 266,691 | | | | 266,691 | 127 per unit | - |
| | 4,160 units | 529,595 | | | | 529,595 | 127 per unit | - |
| | 9,574 units | 1,219,018 | | | | 1,219,018 | 127 per unit | - |
| | 185,818 units | 25,000,000 | | | | 25,000,000 | 135 per unit | - |
| | 2,757 units | 351,081 | | | | 351,081 | 127 per unit | - |
| | 6,156 units | 844,355 | | | | 844,355 | 137 per unit | - |
| | 60 units | 8,254 | | | | 8,254 | 138 per unit | - |
| | 15,780 units | 2,214,138 | | | | 2,214,138 | 140 per unit | - |
| | 48,852 units | | 5,987,883 | | | 5,268,072 | 123 per unit | 719,811 |
| | 1 unit | | 121 | | | 113 | 122 per unit | 8 |
| | 1,669 units | | 204,540 | | | 184,425 | 123 per unit | 20,115 |
| | 35,908 units | | 4,383,295 | | | 3,882,853 | 122 per unit | 500,442 |
| | 49,590 units | | 6,000,000 | | | 5,342,941 | 121 per unit | 657,059 |
| | 3,114 units | | 376,741 | | | 349,833 | 121 per unit | 26,908 |

JOHNSON CONTROLS, INC.
PENSION PLANS
SUPPLEMENTAL SCHEDULE
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
JOHNSON CONTROLS, INC. MASTER PENSION TRUST, EIN: 39-0380010
DECEMBER 31, 2009

| Identity of Party Involved | Description of Asset (Include Interest Rate and Maturity in Case of a Loan) | Purchase Price | Selling Price | Lease Rental | Expense Incurred with Transaction | Cost of Asset | Current Value of Asset on Transaction Date | Net Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|
| Baird Fixed Income (continued) | 3 units | | $ 313 | | | $ 294 | $ 121 per unit | $ 19 |
| | 135,065 units | | 15,348,760 | | | 14,554,162 | 114 per unit | 794,598 |
| | 280,988 units | | 34,651,250 | | | 30,278,428 | 123 per unit | 4,372,822 |
| | 4,588 units | | 569,969 | | | 517,865 | 124 per unit | 52,104 |
| | 2,066 units | | 263,026 | | | 234,169 | 127 per unit | 28,857 |
| | 29 units | | 3,664 | | | 3,210 | 127 per unit | 454 |
| | 4,043 units | | 514,781 | | | 454,885 | 127 per unit | 59,896 |
| | 116 units | | 14,813 | | | 13,109 | 127 per unit | 1,704 |
| | 9,493 units | | 1,208,678 | | | 1,049,186 | 127 per unit | 159,492 |
| | 81 units | | 10,338 | | | 9,057 | 127 per unit | 1,281 |
| | 2,658 units | | 338,437 | | | 287,035 | 127 per unit | 51,402 |
| | 65 units | | 8,274 | | | 7,431 | 127 per unit | 843 |
| | 34 units | | 4,369 | | | 3,839 | 127 per unit | 530 |
| | 6,156 units | | 844,354 | | | 675,789 | 137 per unit | 168,565 |
| | 47,333 units | | 6,257,625 | | | 5,259,899 | 132 per unit | 997,726 |
| | 60 units | | 8,254 | | | 6,822 | 138 per unit | 1,432 |
| | 15,780 units | | 2,214,137 | | | 1,777,166 | 140 per unit | 436,971 |
| Total | 892,218 units | $ 32,655,995 | $ 79,213,622 | | | $ 102,816,578 | | $ 9,053,039 |
| Cash Fund | 5,472 units | $ 6,192,546 | | | | 6,192,546 | 1,132 per unit | - |
| | 1 unit | 1,159 | | | | 1,159 | 1,872 per unit | - |
| | 8,335 units | 8,383,298 | | | | 8,383,298 | 1,006 per unit | - |
| | 2,911 units | 10,000,012 | | | | 10,000,012 | 3,435 per unit | - |
| | 110 units | 377,054 | | | | 377,054 | 3,435 per unit | - |
| | 10 units | 50,000 | | | | 50,000 | 4,794 per unit | - |
| | 3,540 units | 17,000,001 | | | | 17,000,001 | 4,802 per unit | - |
| | 47 units | 224,998 | | | | 224,998 | 4,802 per unit | - |
| | 416 units | 1,999,998 | | | | 1,999,998 | 4,802 per unit | - |
| | 172 units | 824,991 | | | | 824,991 | 4,802 per unit | - |
| | 52 units | 250,002 | | | | 250,002 | 4,802 per unit | - |
| | 73 units | 349,996 | | | | 349,996 | 4,802 per unit | - |
| | 10,135 units | 48,670,893 | | | | 48,670,893 | 4,802 per unit | - |
| | 20 units | 98,385 | | | | 98,385 | 4,802 per unit | - |
| | 13 units | 60,631 | | | | 60,631 | 4,802 per unit | - |
| | 1 unit | 5,004 | | | | 5,004 | 4,802 per unit | - |
| | 7 units | 34,628 | | | | 34,628 | 4,802 per unit | - |
| | 19 units | 91,499 | | | | 91,499 | 4,802 per unit | - |

JOHNSON CONTROLS, INC.
PENSION PLANS
SUPPLEMENTAL SCHEDULE
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
JOHNSON CONTROLS, INC. MASTER PENSION TRUST, EIN: 39-0380010
DECEMBER 31, 2009

| Identity of Party Involved | Description of Asset (Include Interest Rate and Maturity in Case of a Loan) | Purchase Price | Selling Price | Lease Rental | Expense Incurred with Transaction | Cost of Asset | Current Value of Asset on Transaction Date | Net Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|
| Cash Fund (continued) | 3,227 units | $ 15,495,834 | | | | $ 15,495,834 | $ 4,802 per unit | $ - |
| | 34 units | 163,780 | | | | 163,780 | 4,802 per unit | - |
| | 543 units | 2,609,150 | | | | 2,609,150 | 4,802 per unit | - |
| | 20 units | 96,892 | | | | 96,892 | 4,802 per unit | - |
| | 10 units | 46,969 | | | | 46,969 | 4,802 per unit | - |
| | 8 units | 36,510 | | | | 36,510 | 4,802 per unit | - |
| | 1 unit | 3,093 | | | | 3,093 | 4,803 per unit | - |
| | 145 units | 697,221 | | | | 697,221 | 4,802 per unit | - |
| | 4 units | 17,691 | | | | 17,691 | 4,802 per unit | - |
| | 24 units | 114,905 | | | | 114,905 | 4,802 per unit | - |
| | 39 units | 189,654 | | | | 189,654 | 4,802 per unit | - |
| | 1 unit | 6,387 | | | | 6,387 | 4,802 per unit | - |
| | 155 units | 746,275 | | | | 746,275 | 4,802 per unit | - |
| | 5 units | 25,706 | | | | 25,706 | 4,802 per unit | - |
| | 14 units | 68,262 | | | | 68,262 | 4,802 per unit | - |
| | 18 units | 87,101 | | | | 87,101 | 4,802 per unit | - |
| | 1 unit | 3,491 | | | | 3,491 | 4,802 per unit | - |
| | 44 units | 213,209 | | | | 213,209 | 4,802 per unit | - |
| | 59 units | 283,425 | | | | 283,425 | 4,802 per unit | - |
| | 3 units | 12,476 | | | | 12,476 | 4,802 per unit | - |
| | 44 units | 209,818 | | | | 209,818 | 4,802 per unit | - |
| | 46 units | 219,648 | | | | 219,648 | 4,802 per unit | - |
| | 2 units | 11,150 | | | | 11,150 | 4,802 per unit | - |
| | 51 units | 243,097 | | | | 243,097 | 4,802 per unit | - |
| | 55 units | 264,245 | | | | 264,245 | 4,802 per unit | - |
| | 2 units | 11,434 | | | | 11,434 | 4,802 per unit | - |
| | 90 units | 433,903 | | | | 433,903 | 4,802 per unit | - |
| | 102 units | 489,627 | | | | 489,627 | 4,802 per unit | - |
| | 5 units | 22,685 | | | | 22,685 | 4,802 per unit | - |
| | 26 units | 123,039 | | | | 123,039 | 4,802 per unit | - |
| | 32 units | 151,828 | | | | 151,828 | 4,802 per unit | - |
| | 1 unit | 7,030 | | | | 7,030 | 4,802 per unit | - |
| | 81 units | 391,218 | | | | 391,218 | 4,802 per unit | - |
| | 81 units | 391,112 | | | | 391,112 | 4,802 per unit | - |
| | 4 units | 20,174 | | | | 20,174 | 4,802 per unit | - |
| | 37 units | 178,221 | | | | 178,221 | 4,802 per unit | - |
| | 1 unit | 3,563 | | | | 3,563 | 4,802 per unit | - |
| | 6 units | 27,026 | | | | 27,026 | 4,802 per unit | - |

JOHNSON CONTROLS, INC.
PENSION PLANS
SUPPLEMENTAL SCHEDULE
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
JOHNSON CONTROLS, INC. MASTER PENSION TRUST, EIN: 39-0380010
DECEMBER 31, 2009

| Identity of Party Involved | Description of Asset (Include Interest Rate and Maturity in Case of a Loan) | Purchase Price | Selling Price | Lease Rental | Expense Incurred with Transaction | Cost of Asset | Current Value of Asset on Transaction Date | Net Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|
| Cash Fund (continued) | 5 units | $ 24,390 | | | | $ 24,390 | $ 4,802 per unit | $ - |
| | 0 units | 1,373 | | | | 1,373 | 4,801 per unit | - |
| | 5 units | 25,000 | | | | 25,000 | 4,802 per unit | - |
| | 0 units | 376 | | | | 376 | 4,816 per unit | - |
| | 0 units | 140 | | | | 140 | 4,817 per unit | - |
| | 3 units | 16,756 | | | | 16,756 | 4,816 per unit | - |
| | 117 units | 557,916 | | | | 557,916 | 4,783 per unit | - |
| | 1 unit | 4,391 | | | | 4,391 | 4,783 per unit | - |
| | 2 units | 7,662 | | | | 7,662 | 4,783 per unit | - |
| | 808 units | 3,885,923 | | | | 3,885,923 | 4,808 per unit | - |
| | 1,872 units | 9,000,005 | | | | 9,000,005 | 4,808 per unit | - |
| | 5 units | 23,968 | | | | 23,968 | 4,808 per unit | - |
| | 50 units | 239,059 | | | | 239,059 | 4,808 per unit | - |
| | 1 unit | 3,664 | | | | 3,664 | 4,808 per unit | - |
| | 2 units | 8,773 | | | | 8,773 | 4,834 per unit | - |
| | 6 units | 26,908 | | | | 26,908 | 4,833 per unit | - |
| | 3,516 units | 17,000,000 | | | | 17,000,000 | 4,835 per unit | - |
| | 21 units | 100,000 | | | | 100,000 | 4,835 per unit | - |
| | 26 units | 125,000 | | | | 125,000 | 4,835 per unit | - |
| | 414 units | 2,000,000 | | | | 2,000,000 | 4,835 per unit | - |
| | 21 units | 100,000 | | | | 100,000 | 4,835 per unit | - |
| | 31 units | 150,000 | | | | 150,000 | 4,835 per unit | - |
| | 62 units | 300,000 | | | | 300,000 | 4,835 per unit | - |
| | 16 units | 75,000 | | | | 75,000 | 4,835 per unit | - |
| | 41 units | 200,000 | | | | 200,000 | 4,835 per unit | - |
| | 52 units | 250,000 | | | | 250,000 | 4,835 per unit | - |
| | 36 units | 175,000 | | | | 175,000 | 4,835 per unit | - |
| | 21 units | 100,000 | | | | 100,000 | 4,835 per unit | - |
| | 16 units | 75,000 | | | | 75,000 | 4,835 per unit | - |
| | 5 units | 25,000 | | | | 25,000 | 4,835 per unit | - |
| | 115 units | 555,467 | | | | 555,467 | 4,835 per unit | - |
| | 8 units | 37,079 | | | | 37,079 | 4,835 per unit | - |
| | 102 units | 492,515 | | | | 492,515 | 4,835 per unit | - |
| | 249 units | 1,199,696 | | | | 1,199,696 | 4,820 per unit | - |
| | 2 units | 8,984 | | | | 8,984 | 4,820 per unit | - |
| | 2 units | 10,338 | | | | 10,338 | 4,820 per unit | - |
| | 4,134 units | 20,000,005 | | | | 20,000,005 | 4,838 per unit | - |
| | 18,600 units | 90,000,001 | | | | 90,000,001 | 4,839 per unit | - |
| | 70 units | 338,437 | | | | 338,437 | 4,839 per unit | - |
| | 2 units | 8,274 | | | | 8,274 | 4,839 per unit | - |

JOHNSON CONTROLS, INC.
PENSION PLANS
SUPPLEMENTAL SCHEDULE
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
JOHNSON CONTROLS, INC. MASTER PENSION TRUST, EIN: 39-0380010
DECEMBER 31, 2009

| Identity of Party Involved | Description of Asset (Include Interest Rate and Maturity in Case of a Loan) | Purchase Price | Selling Price | Lease Rental | Expense Incurred with Transaction | Cost of Asset | Current Value of Asset on Transaction Date | Net Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|
| Cash Fund (continued) | 1 unit | $ 4,369 | | | | $ 4,369 | $ 4,839 per unit | $ - |
| | 3 units | 16,909 | | | | 16,909 | 4,842 per unit | - |
| | 0 units | 731 | | | | 731 | 4,842 per unit | - |
| | 13 units | 65,000 | | | | 65,000 | 4,844 per unit | - |
| | 59 units | 284,134 | | | | 284,134 | 4,844 per unit | - |
| | 2,064 units | 10,000,000 | | | | 10,000,000 | 4,844 per unit | - |
| | 118 units | 569,244 | | | | 569,244 | 4,844 per unit | - |
| | 5 units | 23,047 | | | | 23,047 | 4,844 per unit | - |
| | 10 units | 48,603 | | | | 48,603 | 4,844 per unit | - |
| | 7 units | 35,273 | | | | 35,273 | 4,844 per unit | - |
| | 14 units | 68,506 | | | | 68,506 | 4,844 per unit | - |
| | 5 units | 24,384 | | | | 24,384 | 4,844 per unit | - |
| | 12 units | 57,530 | | | | 57,530 | 4,844 per unit | - |
| | 4 units | 17,767 | | | | 17,767 | 4,844 per unit | - |
| | 4,278 units | 20,698,866 | | | | 20,698,866 | 4,838 per unit | - |
| | 2 units | 8,253 | | | | 8,253 | 4,838 per unit | - |
| | 2,066 units | 10,000,001 | | | | 10,000,001 | 4,841 per unit | - |
| | 455 units | 2,202,277 | | | | 2,202,277 | 4,841 per unit | - |
| | 2 units | 7,659 | | | | 7,659 | 4,841 per unit | - |
| | 1 unit | 4,202 | | | | 4,202 | 4,841 per unit | - |
| | 0 units | 1,938 | | | | 1,938 | 4,858 per unit | - |
| | 0 units | 335 | | | | 335 | 4,858 per unit | - |
| | 0 units | 102 | | | | 102 | 4,858 per unit | - |
| | 8,141 units | | $ 9,211,780 | | | 8,942,198 | 1,132 per unit | 269,582 |
| | 8,410 units | | 8,458,152 | | | 8,466,469 | 1,006 per unit | (8,317) |
| | 2,321 units | | 7,970,799 | | | 7,960,900 | 3,435 per unit | 9,899 |
| | 33 units | | 111,812 | | | 111,812 | 3,435 per unit | - |
| | 574 units | | 1,972,285 | | | 1,947,213 | 3,435 per unit | 25,072 |
| | 20 units | | 67,602 | | | 38,051 | 3,435 per unit | 29,551 |
| | 31 units | | 106,993 | | | 88,889 | 3,435 per unit | 18,104 |
| | 10,159 units | | 48,784,833 | | | 48,784,832 | 4,802 per unit | 1 |
| | 42 units | | 203,638 | | | 200,596 | 4,802 per unit | 3,042 |
| | 18 units | | 88,445 | | | 86,631 | 4,802 per unit | 1,814 |
| | 25 units | | 117,930 | | | 115,511 | 4,802 per unit | 2,419 |
| | 3,178 units | | 15,261,026 | | | 15,261,025 | 4,802 per unit | 1 |
| | 6 units | | 27,281 | | | 27,281 | 4,802 per unit | - |
| | 8 units | | 36,381 | | | 36,381 | 4,802 per unit | - |

JOHNSON CONTROLS, INC.
PENSION PLANS
SUPPLEMENTAL SCHEDULE
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
JOHNSON CONTROLS, INC. MASTER PENSION TRUST, EIN: 39-0380010
DECEMBER 31, 2009

| Identity of Party Involved | Description of Asset (Include Interest Rate and Maturity in Case of a Loan) | Purchase Price | Selling Price | Lease Rental | Expense Incurred with Transaction | Cost of Asset | Current Value of Asset on Transaction Date | Net Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|
| Cash Fund (continued) | 144 units | | $ 690,201 | | | $ 688,494 | $ 4.802 per unit | $ 1,707 |
| | 30 units | | 144,697 | | | 141,144 | 4.802 per unit | 3,553 |
| | 164 units | | 785,201 | | | 773,866 | 4.802 per unit | 11,335 |
| | 40 units | | 190,192 | | | 186,058 | 4.802 per unit | 4,134 |
| | 44 units | | 211,729 | | | 204,431 | 4.802 per unit | 7,298 |
| | 59 units | | 282,306 | | | 272,574 | 4.802 per unit | 9,732 |
| | 41 units | | 198,447 | | | 186,474 | 4.802 per unit | 11,973 |
| | 359 units | | 1,724,781 | | | 1,696,025 | 4.802 per unit | 28,756 |
| | 26 units | | 124,528 | | | 123,326 | 4.802 per unit | 1,202 |
| | 181 units | | 868,402 | | | 852,968 | 4.802 per unit | 15,434 |
| | 19 units | | 88,882 | | | 70,144 | 4.802 per unit | 18,738 |
| | 25 units | | 118,506 | | | 93,523 | 4.802 per unit | 24,983 |
| | 11 units | | 52,607 | | | 45,381 | 4.802 per unit | 7,226 |
| | 1,201 units | | 5,767,402 | | | 5,767,401 | 4.802 per unit | 1 |
| | 3 units | | 16,255 | | | 16,030 | 4.802 per unit | 225 |
| | 2 units | | 10,517 | | | 10,308 | 4.802 per unit | 209 |
| | 500 units | | 2,400,316 | | | 2,400,316 | 4.802 per unit | - |
| | 3 units | | 14,920 | | | 14,920 | 4.802 per unit | - |
| | 13 units | | 60,310 | | | 60,172 | 4.802 per unit | 138 |
| | 3 units | | 13,335 | | | 13,027 | 4.802 per unit | 308 |
| | 14 units | | 66,759 | | | 66,106 | 4.802 per unit | 653 |
| | 3 units | | 13,062 | | | 12,794 | 4.802 per unit | 268 |
| | 11 units | | 50,744 | | | 49,126 | 4.802 per unit | 1,618 |
| | 8 units | | 39,324 | | | 37,122 | 4.802 per unit | 2,202 |
| | 10 units | | 50,321 | | | 50,238 | 4.802 per unit | 83 |
| | 17 units | | 82,539 | | | 81,517 | 4.802 per unit | 1,022 |
| | 7 units | | 31,636 | | | 31,353 | 4.802 per unit | 283 |
| | 13 units | | 62,773 | | | 61,641 | 4.802 per unit | 1,132 |
| | 1 unit | | 2,540 | | | 2,536 | 4.802 per unit | 4 |
| | 2 units | | 11,597 | | | 9,902 | 4.802 per unit | 1,695 |
| | 0 units | | 2,238 | | | 1,954 | 4.802 per unit | 284 |
| | 0 units | | 375 | | | 374 | 4.802 per unit | 1 |
| | 1,178 units | | 5,632,715 | | | 5,655,229 | 4.783 per unit | (22,514) |
| | 2 units | | 9,992 | | | 9,893 | 4.783 per unit | 99 |
| | 1 unit | | 4,807 | | | 4,730 | 4.783 per unit | 77 |
| | 469 units | | 2,243,090 | | | 2,249,826 | 4.783 per unit | (6,736) |
| | 3 units | | 12,350 | | | 12,381 | 4.783 per unit | (31) |

JOHNSON CONTROLS, INC.
PENSION PLANS
SUPPLEMENTAL SCHEDULE
SCHEDULE H, LINE 4j - SCHEDULE OF REPORTABLE TRANSACTIONS
JOHNSON CONTROLS, INC. MASTER PENSION TRUST, EIN: 39-0380010
DECEMBER 31, 2009

| Identity of Party Involved | Description of Asset (Include Interest Rate and Maturity in Case of a Loan) | Purchase Price | Selling Price | Lease Rental | Expense Incurred with Transaction | Cost of Asset | Current Value of Asset on Transaction Date | Net Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|
| Cash Fund (continued) | 9 units | | $ 42,176 | | | $ 42,248 | $ 4,783 per unit | $ (72) |
| | 2 units | | 9,920 | | | 9,729 | 4,783 per unit | 191 |
| | 12 units | | 56,774 | | | 56,444 | 4,783 per unit | 330 |
| | 2 units | | 8,365 | | | 8,226 | 4,783 per unit | 139 |
| | 9 units | | 44,668 | | | 43,417 | 4,783 per unit | 1,251 |
| | 7 units | | 35,628 | | | 33,768 | 4,783 per unit | 1,860 |
| | 5 units | | 24,551 | | | 24,609 | 4,783 per unit | (58) |
| | 13 units | | 63,547 | | | 63,011 | 4,783 per unit | 536 |
| | 16 units | | 76,155 | | | 75,394 | 4,783 per unit | 761 |
| | 0 units | | 627 | | | 628 | 4,783 per unit | (1) |
| | 2 units | | 9,016 | | | 7,729 | 4,783 per unit | 1,287 |
| | 5 units | | 23,116 | | | 21,212 | 4,783 per unit | 1,904 |
| | 55 units | | 266,691 | | | 266,539 | 4,808 per unit | 152 |
| | 2,133 units | | 10,254,092 | | | 10,241,997 | 4,808 per unit | 12,095 |
| | 1,677 units | | 8,109,945 | | | 8,094,842 | 4,835 per unit | 15,103 |
| | 1,970 units | | 9,493,679 | | | 9,505,730 | 4,820 per unit | (12,051) |
| | 16,533 units | | 80,000,013 | | | 79,970,665 | 4,839 per unit | 29,348 |
| | 73 units | | 351,081 | | | 351,002 | 4,839 per unit | 79 |
| | 1,626 units | | 7,866,160 | | | 7,862,376 | 4,839 per unit | 3,784 |
| | 3,307 units | | 16,011,569 | | | 15,995,363 | 4,842 per unit | 16,206 |
| | 1,815 units | | 8,792,251 | | | 8,783,732 | 4,844 per unit | 8,519 |
| | 516 units | | 2,495,203 | | | 2,494,115 | 4,838 per unit | 1,088 |
| | 2 units | | 8,253 | | | 8,250 | 4,838 per unit | 3 |
| | 1,671 units | | 8,084,649 | | | 8,082,581 | 4,838 per unit | 2,068 |
| | 4,338 units | | 20,999,987 | | | 20,978,375 | 4,841 per unit | 21,612 |
| | 1,965 units | | 9,511,821 | | | 9,506,303 | 4,841 per unit | 5,518 |
| | 457 units | | 2,214,138 | | | 2,212,854 | 4,841 per unit | 1,284 |
| | 1,756 units | | 8,499,071 | | | 8,495,103 | 4,841 per unit | 3,968 |
| Total | 153,462 units | $ 310,023,174 | $ 307,852,499 | $ - | $ - | $ 617,280,509 | | $ 595,164 |

# SCHEDULE SB (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Single-Employer Defined Benefit Plan Actuarial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500 or 5500-SF.**

OMB No. 1210-0110

**2009**

**This Form is Open to Public Inspection**

For calendar plan year 2009 or fiscal plan year beginning 01/01/2009 and ending 12/31/2009

▶ **Round off amounts to nearest dollar.**

▶ **Caution:** A penalty of $1,000 will be assessed for late filing of this report unless reasonable cause is established.

**A** Name of plan

Battery Division/ Owosso, U.A.W.

**B** Three-digit plan number (PN) ▶ 017

**C** Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF

Johnson Controls, Inc.

**D** Employer Identification Number (EIN)

39-1684871

**E** Type of plan: [X] Single [ ] Multiple-A [ ] Multiple-B

**F** Prior year plan size: [ ] 100 or fewer [ ] 101-500 [X] More than 500

## Part I Basic Information

**1** Enter the valuation date: Month 1 Day 1 Year 2009

| | | | | |
|---|---|---|---|---|
| **2** | Assets: | | | |
| | **a** Market value | | **2a** | 90,440,493 |
| | **b** Actuarial value | | **2b** | 99,484,542 |
| **3** | Funding target/participant count breakdown | | **(1)** Number of participants | **(2)** Funding Target |
| | **a** For retired participants and beneficiaries receiving payment | **3a** | 2,257 | 52,271,313 |
| | **b** For terminated vested participants | **3b** | 2,469 | 25,652,024 |
| | **c** For active participants: | | | |
| | **(1)** Non-vested benefits | **3c(1)** | | 123,827 |
| | **(2)** Vested benefits | **3c(2)** | | 1,204,637 |
| | **(3)** Total active | **3c(3)** | 231 | 1,328,464 |
| | **d** Total | **3d** | 4,957 | 79,251,801 |
| **4** | If the plan is at-risk, check the box and complete items (a) and (b) [ ] | | | |
| | **a** Funding target disregarding prescribed at-risk assumptions | | **4a** | |
| | **b** Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been at-risk for fewer than five consecutive years and disregarding loading factor | | **4b** | |
| **5** | Effective interest rate | | **5** | 8.14 % |
| **6** | Target normal cost | | **6** | 567,459 |

**Statement by Enrolled Actuary**

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

**SIGN HERE** Mark K. Friedman MKF — 09/21/2010

Signature of actuary — Date

Mark K. Friedman — 08-06405

Type or print name of actuary — Most recent enrollment number

Hewitt Associates LLC — (847)295-5000

Firm name — Telephone number (including area code)

100 Half Day Road

Lincolnshire IL 60069

Address of the firm

If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions [ ]

## Part II Beginning of year carryover and prefunding balances

| | | (a) Carryover balance | (b) Prefunding balance |
|---|---|---|---|
| 7 | Balance at beginning of prior year after applicable adjustments (Item 13 from prior year) | 17,610,233 | 0 |
| 8 | Portion used to offset prior year's funding requirement (Item 35 from prior year) | 211,262 | 0 |
| 9 | Amount remaining (Item 7 minus item 8) | 17,398,971 | 0 |
| 10 | Interest on item 9 using prior year's actual return of (11.45)% | (2,369,292) | |
| 11 | Prior year's excess contributions to be added to prefunding balance: | | |
| | a Excess contributions (Item 38 from prior year) | | 171,831 |
| | b Interest on (a) using prior year's effective rate of 6.04 % | | 10,447 |
| | c Total available at beginning of current plan year to add to prefunding balance | | 182,278 |
| | d Portion of (c) to be added to prefunding balance | | 182,278 |
| 12 | Reduction in balances due to elections or deemed elections | 0 | 0 |
| 13 | Balance at beginning of current year (item 9 + item 10 + item 11d - item 12) | 15,029,679 | 182,278 |

## Part III Funding percentages

| | | | |
|---|---|---|---|
| 14 | Funding target attainment percentage | 14 | 106.33 % |
| 15 | Adjusted funding target attainment percentage | 15 | 125.52 % |
| 16 | Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement | 16 | 112.58 % |
| 17 | If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage | 17 | % |

## Part IV Contributions and liquidity shortfalls

18 Contributions made to the plan for the plan year by employer(s) and employees:

| (a) Date (MM-DD-YYYY) | (b) Amount paid by employer(s) | (c) Amount paid by employees | (a) Date (MM-DD-YYYY) | (b) Amount paid by employer(s) | (c) Amount paid by employees |
|---|---|---|---|---|---|
| 04/15/2009 | 100,000 | 0 | | | |
| 07/15/2009 | 100,000 | 0 | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | Totals ► 18(b) | 200,000 | 18(c) 0 |

| | | | |
|---|---|---|---|
| 19 | Discounted employer contributions - see instructions for small plan with a valuation date after the beginning of the year: | | |
| | a Contributions allocated toward unpaid minimum required contribution from prior years. | 19a | 0 |
| | b Contributions made to avoid restrictions adjusted to valuation date | 19b | 0 |
| | c Contributions allocated toward minimum required contribution for current year adjusted to valuation date | 19c | 193,700 |

20 Quarterly contributions and liquidity shortfalls:

a Did the plan have a "funding shortfall" for the prior year? [X] Yes [ ] No

b If 20a is "Yes," were required quarterly installments for the current year made in a timely manner? [X] Yes [ ] No

c If 20a is "Yes," see instructions and complete the following table as applicable:

Liquidity shortfall as of end of Quarter of this plan year

| (1) 1st | (2) 2nd | (3) 3rd | (4) 4th |
|---|---|---|---|
| 0 | 0 | 0 | 0 |

## Part V Assumptions used to determine funding target and target normal cost

**21** Discount rate:

**a** Segment rates:

| 1st segment: % | 2nd segment: % | 3rd segment: % | [X] N/A, full yield curve used |
|---|---|---|---|

**b** Applicable month (enter code) — **21b**: 2

**22** Weighted average retirement age — **22**: 65

**23** Mortality table(s) (see instructions) [ ] Prescribed - combined [X] Prescribed - separate [ ] Substitute

## Part VI Miscellaneous items

**24** Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment. [ ] Yes [X] No

**25** Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment. [X] Yes [ ] No

**26** Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment [X] Yes [ ] No

**27** If the plan is eligible for (and is using) alternative funding rules, enter applicable code and see instructions regarding attachment — **27**:

## Part VII Reconciliation of unpaid minimum required contributions for prior years

| | | |
|---|---|---|
| **28** Unpaid minimum required contribution for all prior years | **28** | 0 |
| **29** Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (item 19a) | **29** | 0 |
| **30** Remaining amount of unpaid minimum required contributions (item 28 minus item 29) | **30** | 0 |

## Part VIII Minimum required contribution for current year

| | | |
|---|---|---|
| **31** Target normal cost, adjusted, if applicable (see instructions) | **31** | 0 |

**32** Amortization installments:

| | Outstanding Balance | Installment |
|---|---|---|
| **a** Net shortfall amortization installment | 0 | 0 |
| **b** Waiver amortization installment | 0 | 0 |

| | | |
|---|---|---|
| **33** If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____ ) and the waived amount | **33** | |
| **34** Total funding requirement before reflecting carryover/prefunding balances (item 31 + item 32a + item 32b - item 33) | **34** | 0 |

| | Carryover balance | Prefunding balance | Total balance |
|---|---|---|---|
| **35** Balances used to offset funding requirement | 0 | 0 | 0 |

| | | |
|---|---|---|
| **36** Additional cash requirement (item 34 minus item 35) | **36** | 0 |
| **37** Contributions allocated toward minimum required contribution for current year adjusted to valuation date (Item 19c) | **37** | 193,700 |
| **38** Interest-adjusted excess contributions for current year (see instructions) | **38** | 193,700 |
| **39** Unpaid minimum required contribution for current year (excess, if any, of item 36 over item 37) | **39** | 0 |
| **40** Unpaid minimum required contribution for all years | **40** | 0 |