

ROCKWELL COLLINS INC

Form 4

December 17, 2013

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

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

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
JONES CLAYTON M

(Last) (First) (Middle)

M/S 124-323, 400 COLLINS ROAD
NE

(Street)

CEDAR RAPIDS, IA 52498-0001

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
ROCKWELL COLLINS INC [COL]

3. Date of Earliest Transaction
(Month/Day/Year)
12/13/2013

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------------|---|---|---|---|--|--|---|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 12/13/2013 | | S(1) | | 1,028 | D | \$ 71.45 |
| | | | | | 172,957 | D | |
| Common Stock | 12/13/2013 | | S(1) | | 100 | D | \$ 71.455 |
| | | | | | 172,857 | D | |
| Common Stock | 12/13/2013 | | S(1) | | 200 | D | \$ 71.46 |
| | | | | | 172,657 | D | |
| Common Stock | 12/13/2013 | | S(1) | | 200 | D | \$ 71.465 |
| | | | | | 172,457 | D | |
| Common Stock | 12/13/2013 | | S(1) | | 1,400 | D | \$ 71.47 |
| | | | | | 171,057 | D | |

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| | | | | | | | | |
|--------------|------------|------------------|-----|---|------------|----------------------------|---|-----------------|
| Common Stock | 12/13/2013 | S ⁽¹⁾ | 300 | D | \$ 71.48 | 170,757 | D | |
| Common Stock | 12/13/2013 | S ⁽¹⁾ | 400 | D | \$ 71.49 | 170,357 | D | |
| Common Stock | 12/13/2013 | S ⁽¹⁾ | 100 | D | \$ 71.5 | 170,257 | D | |
| Common Stock | 12/13/2013 | S ⁽¹⁾ | 100 | D | \$ 71.51 | 170,157 | D | |
| Common Stock | 12/13/2013 | S ⁽¹⁾ | 100 | D | \$ 71.5176 | 170,057 | D | |
| Common Stock | 12/13/2013 | S ⁽¹⁾ | 100 | D | \$ 71.53 | 169,957 | D | |
| Common Stock | | | | | | 14,996.5093 ⁽²⁾ | I | By Savings Plan |
| Common Stock | | | | | | 21,950 ⁽³⁾ | I | By GRATs |

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

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr |
|---|--|---|---|--------------------------------------|--|--|---|---|--|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Reporting Owners

JONES CLAYTON M
M/S 124-323
400 COLLINS ROAD NE
CEDAR RAPIDS, IA 52498-0001

X

Signatures

Vaughn M. Klopfenstein,
Attorney-in-Fact

12/16/2013

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 13, 2013.
- (2) Shares represented by Company stock fund units under the Company's tax-qualified savings plan, including shares acquired on a periodic basis pursuant to the Plan, based on information furnished by the Plan Administrator as of December 1, 2013.
- (3) Indirectly owned by reporting person who serves as trustee of grantor retainer annuity trusts (GRATs). The GRATs hold shares originally contributed by the reporting person.

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

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