

ROCKWELL COLLINS INC

Form 4

January 08, 2014

**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)  
01/06/2014

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 or (D)	Price	
Common Stock	01/06/2014		M		43,431	A \$ 36.55	213,388 D
Common Stock	01/06/2014		S <sup>(1)</sup>		5,423	D \$ 75	207,965 D
Common Stock	01/06/2014		S <sup>(1)</sup>		100	D \$ 75.01	207,865 D
Common Stock	01/06/2014		S <sup>(1)</sup>		500	D \$ 75.02	207,365 D
Common Stock	01/06/2014		S <sup>(1)</sup>		200	D \$ 75.03	207,165 D

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Common Stock	01/06/2014	<u>S(1)</u>	377	D	\$ 75.04	206,788	D
Common Stock	01/06/2014	<u>S(1)</u>	100	D	\$ 75.05	206,688	D
Common Stock	01/06/2014	<u>S(1)</u>	72	D	\$ 75.06	206,616	D
Common Stock	01/06/2014	<u>S(1)</u>	100	D	\$ 75.07	206,516	D
Common Stock	01/06/2014	<u>S(1)</u>	500	D	\$ 75.12	206,016	D
Common Stock	01/06/2014	<u>S(1)</u>	1,500	D	\$ 75.14	204,516	D
Common Stock	01/06/2014	<u>S(1)</u>	1	D	\$ 75.15	204,515	D
Common Stock	01/06/2014	<u>S(1)</u>	116	D	\$ 75.17	204,399	D
Common Stock	01/06/2014	<u>S(1)</u>	1,299	D	\$ 75.19	203,100	D
Common Stock	01/06/2014	<u>S(1)</u>	437	D	\$ 75.26	202,663	D
Common Stock	01/06/2014	<u>S(1)</u>	1,700	D	\$ 75.34	200,963	D
Common Stock	01/06/2014	<u>S(1)</u>	100	D	\$ 75.35	200,863	D
Common Stock	01/06/2014	<u>S(1)</u>	900	D	\$ 75.38	199,963	D
Common Stock	01/06/2014	<u>S(1)</u>	2,648	D	\$ 75.39	197,315	D
Common Stock	01/06/2014	<u>S(1)</u>	600	D	\$ 75.3939	196,715	D
Common Stock	01/06/2014	<u>S(1)</u>	400	D	\$ 75.4058	196,315	D
Common Stock	01/06/2014	<u>S(1)</u>	500	D	\$ 75.41	195,815	D
Common Stock	01/06/2014	<u>S(1)</u>	1,000	D	\$ 75.43	194,815	D
Common Stock	01/06/2014	<u>S(1)</u>	200	D	\$ 75.46	194,615	D
Common Stock	01/06/2014	<u>S(1)</u>	200	D	\$ 75.4743	194,415	D
	01/06/2014	<u>S(1)</u>	205	D	\$ 75.5	194,210	D

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Common  
Stock

Common Stock	01/06/2014	S <sup>(1)</sup>	1,700	D	\$ 75.51	192,510	D
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Common Stock	01/06/2014	S <sup>(1)</sup>	1,086	D	\$ 75.52	191,424	D
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Common Stock						15,223.3642 (2)	I	By Savings Plan
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Common Stock						21,950 (3)	I	By GRATs
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
								Amount or Number of Shares	
Employee Stock Option (Right to Buy) (4)	\$ 36.55	01/06/2014		M	43,431	(5)	11/02/2014	Common Stock	43,431

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
JONES CLAYTON M M/S 124-323 400 COLLINS ROAD NE CEDAR RAPIDS, IA 52498-0001	X

## Signatures

Vaughn M. Klopfenstein,  
Attorney-in-Fact

01/08/2014

\_\_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 January 1, 2014.
- (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.
- (4) Employee stock options granted pursuant to the Company's stock based plans.
- (5) The options are currently exercisable.

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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