

STATLER KENT L  
Form 4  
November 28, 2018

**FORM 4**

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

OMB APPROVAL

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**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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
STATLER KENT L

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

5. Relationship of Reporting Person(s) to Issuer  
(Check all applicable)

(Last) (First) (Middle)  
M/S 124-123, 400 COLLINS ROAD  
NE  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
11/26/2018

\_\_\_\_ Director  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
ExecVP and COO, Commercial Sys

CEDAR RAPIDS, IA 52498-0001  
(City) (State) (Zip)

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

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)		
Common Stock	11/26/2018		D		66,840.815 (1)	D	
Common Stock	11/26/2018		D		5,199.8649 (2)	D	By Savings Plan

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

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**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 Number of Shares
Stock Option (Right to Buy)	\$ 54.37	11/26/2018		M	44,300	<u>(3)</u>	11/12/2022	Common Stock	44,300
Stock Option (Right to Buy)	\$ 70.97	11/26/2018		M	29,900	<u>(3)</u>	11/11/2023	Common Stock	29,900
Stock Option (Right to Buy)	\$ 83.69	11/26/2018		M	28,100	<u>(3)</u>	11/17/2024	Common Stock	28,100
Stock Option (Right to Buy)	\$ 86.75	11/26/2018		M	31,000	<u>(3)</u>	11/09/2025	Common Stock	31,000
Stock Option (Right to Buy)	\$ 88.71	11/26/2018		M	32,100	<u>(3)</u>	11/14/2026	Common Stock	32,100
Phantom Stock	<u>(5)</u>	11/26/2018		M	3,205.3746	<u>(4)</u>	<u>(4)</u>	Common Stock	3,205.3746

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
STATLER KENT L M/S 124-123 400 COLLINS ROAD NE CEDAR RAPIDS, IA 52498-0001			ExecVP and COO, Commercial Sys	

