

ROCKWELL COLLINS INC
Form 4
January 08, 2014

FORM 4

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

OMB APPROVAL

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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

(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 Ownership (Instr. 4)
			Code	V	Amount (D) or Price (A)		
Common Stock	01/06/2014		M		43,431 A \$ 36.55	213,388	D
Common Stock	01/06/2014		S ⁽¹⁾		5,423 D \$ 75	207,965	D
Common Stock	01/06/2014		S ⁽¹⁾		100 D \$ 75.01	207,865	D
Common Stock	01/06/2014		S ⁽¹⁾		500 D \$ 75.02	207,365	D
Common Stock	01/06/2014		S ⁽¹⁾		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

Common Stock									
Common Stock	01/06/2014		S ⁽¹⁾	1,700	D	\$ 75.51	192,510	D	
Common Stock	01/06/2014		S ⁽¹⁾	1,086	D	\$ 75.52	191,424	D	
Common Stock							15,223.3642 ⁽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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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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
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.

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