

ROCKWELL COLLINS INC
Form 4
February 05, 2014

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 *
JONES CLAYTON M

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 124-323, 400 COLLINS ROAD
NE

3. Date of Earliest Transaction
(Month/Day/Year)
02/03/2014

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

(Street)
CEDAR RAPIDS, IA 52498-0001

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | | (A) or (D) Code V Amount Price | | | |
| Common Stock | 02/03/2014 | | S(1) | 200 D \$ 75.39 | 192,675 | D | |
| Common Stock | 02/03/2014 | | S(1) | 300 D \$ 75.41 | 192,375 | D | |
| Common Stock | 02/03/2014 | | S(1) | 1,200 D \$ 75.42 | 191,175 | D | |
| Common Stock | 02/03/2014 | | S(1) | 700 D \$ 75.43 | 190,475 | D | |
| Common Stock | 02/03/2014 | | S(1) | 500 D \$ 75.44 | 189,975 | D | |

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| | | | | | | | |
|--------------|------------|-------------|-------|---|-----------|---------|---|
| Common Stock | 02/03/2014 | <u>S(1)</u> | 300 | D | \$ 75.45 | 189,675 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 2,002 | D | \$ 75.46 | 187,673 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 1,900 | D | \$ 75.47 | 185,773 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 100 | D | \$ 75.5 | 185,673 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 1,354 | D | \$ 75.51 | 184,319 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 346 | D | \$ 75.52 | 183,973 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 353 | D | \$ 75.53 | 183,620 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 200 | D | \$ 75.54 | 183,420 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 200 | D | \$ 75.55 | 183,220 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 400 | D | \$ 75.56 | 182,820 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 100 | D | \$ 75.59 | 182,720 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 400 | D | \$ 75.6 | 182,320 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 100 | D | \$ 75.61 | 182,220 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 100 | D | \$ 75.615 | 182,120 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 300 | D | \$ 75.63 | 181,820 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 400 | D | \$ 75.64 | 181,420 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 200 | D | \$ 75.66 | 181,220 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 500 | D | \$ 75.67 | 180,720 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 500 | D | \$ 75.68 | 180,220 | D |
| Common Stock | 02/03/2014 | <u>S(1)</u> | 100 | D | \$ 75.69 | 180,120 | D |
| | 02/03/2014 | <u>S(1)</u> | 300 | D | \$ 75.7 | 179,820 | D |

| | | | | | | | | | |
|--------------|------------|--|------------------|-----|---|----------|----------------------------|---|-----------------|
| Common Stock | | | | | | | | | |
| Common Stock | 02/03/2014 | | S ⁽¹⁾ | 772 | D | \$ 75.71 | 179,048 | 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.

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.

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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 |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | | | Code | V | (A) | (D) |

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

02/05/2014

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