

ROCKWELL COLLINS INC
Form 3
October 01, 2012

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â JASPER PHILIP J		(Month/Day/Year)	ROCKWELL COLLINS INC [COL]	
(Last)	(First)	(Middle)	09/20/2012	
400 COLLINS ROAD			4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
NE,,Â M/S 120-102			(Check all applicable)	
(Street)			<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner	6. Individual or Joint/Group Filing(Check Applicable Line)
CEDAR RAPIDS,Â IAÂ 52498			<input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other	<input checked="" type="checkbox"/> Form filed by One Reporting Person
(City)	(State)	(Zip)	Exec. VP & COO, Government Sys	<input type="checkbox"/> Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	699.6621 ⁽¹⁾	I	By Savings Plan

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

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
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	Date Exercisable	Expiration Date	Amount or Number of Shares	or Indirect (I) (Instr. 5)
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽³⁾	02/10/2014	Common Stock 1,600	\$ 32.91 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽³⁾	11/02/2014	Common Stock 2,700	\$ 36.55 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽³⁾	11/17/2015	Common Stock 1,460	\$ 44.85 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽³⁾	03/08/2016	Common Stock 490	\$ 52.2 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽³⁾	11/09/2016	Common Stock 1,570	\$ 57.92 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽³⁾	04/23/2017	Common Stock 2,500	\$ 66.57 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽³⁾	11/13/2017	Common Stock 3,900	\$ 74.05 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽³⁾	11/21/2018	Common Stock 14,200	\$ 30.39 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽⁴⁾	11/20/2019	Common Stock 9,000	\$ 53.08 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽⁵⁾	11/19/2020	Common Stock 7,820	\$ 55.75 D Â
Employee Stock Option (Right to Buy) ⁽²⁾	Â ⁽⁶⁾	11/14/2021	Common Stock 8,280	\$ 55.01 D Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
JASPER PHILIP J 400 COLLINS ROAD NE, M/S 120-102 CEDAR RAPIDS, IA 52498	Â	Â	Â Exec. VP & COO, Government Sys	Â

Signatures

Vaughn M. Klopfenstein,
Attorney-in-Fact

10/01/2012

⁽²⁾Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, see Instruction 5(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).

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- (1) 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 September 20, 2012.
- (2) Employee stock options granted pursuant to the Company's stock based plans.
- (3) The options vested in three substantially equal annual installments and are currently exercisable. The options vested on each of the first three anniversaries of the date of grant which was 10 years prior to the expiration date.
- (4) 6,000 options are currently exercisable; 3,000 options become exercisable on 11/20/2012.
- (5) 2,606 options are currently exercisable; 2,607 options become exercisable on 11/19/2012; and 2,607 options become exercisable on 11/19/2013.
- (6) 2,760 options become exercisable on 11/14/2012; 2,760 options become exercisable on 11/14/2013; and 2,760 options become exercisable on 11/14/2014.

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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