CARBONE ANTHONY J

Form 4

December 06, 2012

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

2. Issuer Name and Ticker or Trading

OMB Number:

3235-0287

Expires:

5. Relationship of Reporting Person(s) to

Issuer

January 31, 2005

0.5

Estimated average burden hours per

OMB APPROVAL

response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

Check this box

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 may continue. 30(h) of the Investment Company Act of 1940 See Instruction

Symbol

1(b).

(Print or Type Responses)

CARBONE ANTHONY J

1. Name and Address of Reporting Person *

				ROCKWELL COLLINS INC [COL]			(Check all applicable)				
(Last) (First) (Middle) 400 COLLINS ROAD NE, M/S 124-323			3. Date of Earliest Transaction (Month/Day/Year) 12/04/2012					_X_ Director	_X Director 10% Owner Officer (give title Other (specify		
					Amendment, Date Original (Month/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person		
CEDAR RAPIDS, IA 52498											
	(City)	(State)	(Zip)	Tabl	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed of	f, or Beneficial	ly Owned
	1.Title of Security (Instr. 3)	2. Transaction D (Month/Day/Yea	r) Execution	emed on Date, if Day/Year)	Code (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)			
	Common Stock	12/04/2012			M	5,000	A	\$ 20.26	22,769 (1)	D	
	Common Stock	12/04/2012			S	920	D	\$ 55.77	21,849 (1)	D	
	Common Stock	12/04/2012			S	500	D	\$ 55.78	21,349 (1)	D	
	Common Stock	12/04/2012			S	400	D	\$ 55.79	20,949 (1)	D	
	Common Stock								26,235.436 (2)	D	

Edgar Filing: CARBONE ANTHONY J - Form 4

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)

8. l De Sec (In

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. 5. Number Transaction Derivative Code Securities (Instr. 8) 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
Stock Option (Right to Buy) (3)	\$ 20.26	12/04/2012		M	5,000	<u>(4)</u>	02/11/2013	Common Stock	5,000

Reporting Owners

Reporting Owner Name / Address	Relationships						
• 0	Director	10% Owner	Officer	Other			
CARBONE ANTHONY J 400 COLLINS ROAD NE M/S 124-323	X						
CEDAR RAPIDS, IA 52498							

Signatures

/s/ Gary R. Chadick, Attorney-in-Fact

**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) 11,984 of these shares are restricted shares and were delivered as compensation for services as a director. The restricted shares are held by issuer to implement restrictions on transfer unless and until certain conditions are met.

Restricted stock units awarded as compensation for services as a director. Shares of common stock underlying restricted stock units will (2) be issued promptly after departure from the Board of Directors. Also, includes dividend equivalents issued quarterly on the restricted stock units.

Reporting Owners 2

Edgar Filing: CARBONE ANTHONY J - Form 4

- (3) Stock options granted pursant to the Company's stock based plans.
- (4) 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. 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.