ROCKWELL COLLINS INC

Form 3

October 07, 2013

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 *

BUSE TATUM J.

(Last)

(First)

(Middle)

09/28/2013

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

ROCKWELL COLLINS INC [COL]

M/S 124-318. 400 COLLINS

ROAD NE

(Street)

Statement

(Month/Day/Year)

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

VP, Finance and Controller

Director _X__ Officer

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

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, IAÂ 52498

(City) (State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Direct (D) or Indirect

(I) (Instr. 5)

Common Stock

1,069

Common Stock

258.9789 (1)

Â D

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)

Conversion or Exercise

Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership

(Instr. 5) Price of

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy) (2) (3)	(4)	11/20/2019	Common Stock	1,960	\$ 53.08	D	Â
Employee Stock Option (Right to Buy) (2) (3)	(5)	11/19/2020	Common Stock	1,700	\$ 55.75	D	Â
Employee Stock Option (Right to Buy) (2) (3)	(6)	06/13/2021	Common Stock	2,060	\$ 58.63	D	Â
Employee Stock Option (Right to Buy) (2) (3)	(7)	11/14/2021	Common Stock	4,680	\$ 55.01	D	Â
Employee Stock Option (Right to Buy) (2) (3)	(8)	11/12/2022	Common Stock	5,230	\$ 54.37	D	Â
Common Stock Share Equivalents (9)	(10)	(10)	Common Stock	5.602	\$ 0	I	By Supplemental Savings Plan

Reporting Owners

Reporting Owner Name / Address	Relationships					
Fg	Director	10% Owner	Officer	Other		
BUSE TATUM J. M/S 124-318 400 COLLINS ROAD NE CEDAR RAPIDS, IA 52498	Â	Â	VP, Finance and Controller	Â		

Date

Signatures

Gary R. Chadick, Attorney-in-Fact

**Signature of Reporting Person

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).
- (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 October 1, 2013.
- (2) Employee stock options granted pursuant to the Company's stock based plans.
- (3) The options vest in three substantially equal annual installments.
- (4) All 1,960 options are currently exercisable.
- (5) 1,133 options are currently exercisable; 567 options become exercisable on November 19, 2013.
- (6) 1,373 options are currently exercisable; 687 options become exercisable on June 13, 2014.
- (7) 1,560 options are currently exercisable; 1,560 options become exercisable on November 14, 2013 and 1,560 options become exercisable on November 14, 2014.

Reporting Owners 2

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- (8) The options vest in three substantially equal annual installments beginning on November 12, 2013.
- (9) Share equivalents represented by Company stock fund units credited under the Company's non-qualified savings plan based on information furnished by the Administrator of the Plan as of October 1, 2013.
- (10) Payable in cash upon termination of employment.

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.