### ROCKWELL COLLINS INC

Form 4

November 06, 2013

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

30(h) of the Investment Company Act of 1940

OMB Number:

3235-0287

Expires:

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

Check this box

**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

may continue. See Instruction

1(b).

obligations

(Print or Type Responses)

Common

Common

Common

Stock

Stock

Stock

11/05/2013

11/05/2013

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading CARBONE ANTHONY J Issuer Symbol ROCKWELL COLLINS INC [COL] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) X\_ Director 10% Owner Officer (give title Other (specify 400 COLLINS ROAD NE, M/S 11/05/2013 below) 124-323 4. If Amendment, Date Original (Street) 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting CEDAR RAPIDS, IA 52498 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 4. Securities Acquired 5. Amount of 6. Ownership 7. Nature of 3. Transaction(A) or Disposed of (D) Security (Month/Day/Year) Execution Date, if Securities Form: Direct Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 8) Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported

Code

M

S

(A)

or

(D)

Α

D

Amount

5,000

3.271

Price

46.11

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control

30,455.21 (2)

Transaction(s)

(Instr. 3 and 4)

D

D

D

28,346 (1)

\$ 70.5 25,075 (1)

### Edgar Filing: ROCKWELL COLLINS INC - Form 4

#### number.

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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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. Number proof Derivati Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | ve Expiration<br>(Month/Da | 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<br>Exercisable        | Expiration<br>Date                                       | Title           | Amount<br>or<br>Number<br>of<br>Shares                        |  |
| Stock Option (Right to Buy) (3)                     | \$ 46.11  | 11/05/2013                           |   | M                                      | 5,00   | 0 (4)                      | 02/15/2015   | Common<br>Stock | 5,000   |  |

## **Reporting Owners**

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

## **Signatures**

Vaughn M. Klopfenstein, 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 the Company to implement restrictions on transfer unless and until certain conditions are met.
- (2) Restricted stock units awarded as compensation for services as a Director. Shares of common stock underlying restricted stock units will be issued promptly after departure from the Board of Directors.
- (3) Stock options granted pursuant 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.

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