## Edgar Filing: ROCKWELL COLLINS INC - Form 4

| Form 4  | L COLLINS INC                          | l        |                         |   |                        |  |                                       |  |  |   |  |
|---|--|----------|-------------------------|---|------------------------|--|---------------------------------------|--|--|---|--|
| February 10, <b>FORM</b>  |  | статро ( | ECUD                    | ITIEC AT  |                        | <b>• • • • • •</b>                       | NCE                                   | COMMERION  | т –  | PPROVAL   |  |
| Washington, D.C. 20549   Number:  |  |          |                         |   |                        |  |                                       | 0  |  |   |  |
| CARBONE ANTHONY J Symbol  |  |          |                         | • Name and Ticker or Trading VELL COLLINS INC [COL] |                        |  |                                       | <ul><li>5. Relationship of Reporting Person(s) to Issuer</li><li>[Check all applicable)</li></ul>                  |  |   |  |
| (Last)         (First)         (Middle)         3. Date of           400 COLLINS ROAD NE, M/S         02/06/20           124-323         02/06/20 |  |          |                         | -   |                        |  |                                       | XDirector10% Owner<br>Officer (give titleOther (specify<br>below)below)  |  |   |  |
|   | (Street)                               |          | Filed(Month/Day/Year) A |   |                        |  | Applicable Line)<br>_X_ Form filed by | X_Form filed by One Reporting Person   |  |   |  |
| CEDAR RA  | PIDS, IA 52498                         |          |                         |   |                        |  |                                       | Form filed by I<br>Person  | More than One Re   | eporting  |  |
| (City)  | (State)                                | (Zip)    | Table                   | e I - Non-De  | erivative S            | Securi                                   | ties Aco                              | quired, Disposed o   | of, or Beneficial  | lly Owned   |  |
| 1.Title of<br>Security<br>(Instr. 3)  | 2. Transaction Dat<br>(Month/Day/Year) |          | Date, if                | 3.<br>Transactic<br>Code<br>(Instr. 8)              | Disposed<br>(Instr. 3, | l (A) o<br>l of (D<br>4 and<br>(A)<br>or | ))<br>5)                              | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
| Common<br>Stock   | 02/06/2014                             |          |                         | Code V $A^{(1)}$                                    | Amount<br>1,446        | (D)<br>A                                 | Price<br>\$ 0<br>(1)                  | 32,489.954 <u>(2)</u>  | D  |   |  |
| Common<br>Stock   |  |          |                         |   |                        |  |                                       | 25,075 <u>(3)</u>  | D  |   |  |

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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 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<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5.<br>onNumber<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) |                     | ate                | 7. Tit<br>Amou<br>Unde<br>Secur<br>(Instr | int of<br>rlying                       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Owne<br>Follo<br>Repo<br>Trans<br>(Instr |
|---|---|---|--|---|---------------------|--------------------|---|--|---|---|
|   |   |   | Code V                                 | (A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title                                     | Amount<br>or<br>Number<br>of<br>Shares |   |   |

## **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |         |       |  |  |  |  |
|---|---------------|-----------|---------|-------|--|--|--|--|
| r o   | Director      | 10% Owner | Officer | Other |  |  |  |  |
| CARBONE ANTHONY J<br>400 COLLINS ROAD NE<br>M/S 124-323<br>CEDAR RAPIDS, IA 52498 | Х             |           |         |       |  |  |  |  |
| Signatures  |               |           |         |       |  |  |  |  |
| Vaughn M. Klopfenstein,<br>Attorney-in-Fact                                       | 02/10/2014    |           |         |       |  |  |  |  |
| **Signature of Reporting Person   |               | D         | ate     |       |  |  |  |  |
| 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) Restricted stock units awarded as compensation for services as Director. Shares of common stock underlying restricted stock units will be issued promptly after departure from the Board of Directors.
- (2) Includes dividend equivalents issued quarterly on the restricted stock units.
- (3) 11,984 of these shares are restricted shares and were delivered as compensation for services as Director. The restricted shares are held by issuer to implement restrictions on transfer unless and until certain conditions are met.

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.