

ROCKWELL COLLINS INC
Form 4
May 09, 2013

FORM 4

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

OMB APPROVAL

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STATEMENT OF CHANGES IN 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 *
STURGELL ROBERT A

(Last) (First) (Middle)

1300 WILSON BLVD., SUITE 200

(Street)

ARLINGTON, VA 22209

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
ROCKWELL COLLINS INC [COL]

3. Date of Earliest Transaction (Month/Day/Year)
05/07/2013

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

Sr. VP, Washington Operations

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (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)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	05/07/2013		M	1,900 A	\$ 53.08	5,279.966 ⁽¹⁾	D
Common Stock	05/07/2013		M	4,533 A	\$ 55.75	9,812.966 ⁽¹⁾	D
Common Stock	05/07/2013		S	254 D	\$ 65.19	9,558.966 ⁽¹⁾	D
Common Stock	05/07/2013		S	400 D	\$ 65.17	9,158.966 ⁽¹⁾	D
Common Stock	05/07/2013		S	400 D	\$ 65.16	8,758.966 ⁽¹⁾	D

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Common Stock	05/07/2013	S	300	D	\$ 65.15	8,458.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	400	D	\$ 65.14	8,058.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	400	D	\$ 65.13	7,658.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	300	D	\$ 65.12	7,358.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	100	D	\$ 65.115	7,258.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	700	D	\$ 65.11	6,558.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	200	D	\$ 65.1	6,358.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	400	D	\$ 65.09	5,958.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	1,600	D	\$ 65.08	4,358.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	520	D	\$ 65.07	3,838.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	300	D	\$ 65.06	3,538.966 ⁽¹⁾	D	
Common Stock	05/07/2013	S	159	D	\$ 65.05	3,379.966 ⁽¹⁾	D	
Common Stock						2,533.4952 ⁽²⁾	I	By Savings Plan

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

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(9-02)

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities 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)	8. F... Der... Sec... (In...
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					Date Exercisable	Expiration Date	Title	Amount or Number of Shares
			Code	V	(A)	(D)		
Stock Option (Right to Buy) ⁽³⁾	\$ 53.08	05/07/2013	M				Common Stock	1,900
					<u>(4)</u>	11/20/2019		
Stock Option (Right to Buy) ⁽³⁾	\$ 55.75	05/07/2013	M				Common Stock	4,533
					<u>(4)</u>	11/19/2020		

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
STURGELL ROBERT A 1300 WILSON BLVD. SUITE 200 ARLINGTON, VA 22209			Sr. VP, Washington Operations	

Signatures

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

05/09/2013

__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) Includes shares acquired under the Company's employee stock purchase plan and based on information furnished by the Plan Administrator as of May 1, 2013.
- (2) 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 May 1, 2013.
- (3) Employee 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.

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