

ROCKWELL COLLINS INC
Form 4
June 25, 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 *
JONES CLAYTON M

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
M/S 124-323, 400 COLLINS ROAD
NE

3. Date of Earliest Transaction
(Month/Day/Year)
06/24/2013

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

(Street)
CEDAR RAPIDS, IA 52498-0001

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

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

(City) (State) (Zip)

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (D) | Price |
| Common Stock | 06/24/2013 | | M | | 60,282 | A | \$ 27.97 |
| Common Stock | 06/24/2013 | | S ⁽¹⁾ | | 100 | D | \$ 61.16 |
| Common Stock | 06/24/2013 | | S ⁽¹⁾ | | 300 | D | \$ 61.17 |
| Common Stock | 06/24/2013 | | S ⁽¹⁾ | | 100 | D | \$ 61.18 |
| Common Stock | 06/24/2013 | | S ⁽¹⁾ | | 100 | D | \$ 61.2 |

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| | | | | | | | |
|--------------|------------|------------------------|-------|---|------------|---------|---|
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 400 | D | \$ 61.21 | 211,322 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 984 | D | \$ 61.22 | 210,338 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 416 | D | \$ 61.23 | 209,922 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 265 | D | \$ 61.24 | 209,657 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 383 | D | \$ 61.25 | 209,274 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 323 | D | \$ 61.26 | 208,951 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 800 | D | \$ 61.27 | 208,151 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 1,400 | D | \$ 61.28 | 206,751 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 3,217 | D | \$ 61.29 | 203,534 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 1,139 | D | \$ 61.3 | 202,395 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 700 | D | \$ 61.31 | 201,695 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 1,000 | D | \$ 61.32 | 200,695 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 100 | D | \$ 61.325 | 200,595 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 2,707 | D | \$ 61.33 | 197,888 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 100 | D | \$ 61.3325 | 197,788 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 200 | D | \$ 61.335 | 197,588 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 792 | D | \$ 61.34 | 196,796 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 100 | D | \$ 61.345 | 196,696 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 1,300 | D | \$ 61.35 | 195,396 | D |
| Common Stock | 06/24/2013 | <u>S⁽¹⁾</u> | 3,192 | D | \$ 61.36 | 192,204 | D |
| | 06/24/2013 | <u>S⁽¹⁾</u> | 1,200 | D | \$ 61.37 | 191,004 | D |

| | | | | | | | | | |
|--------------|------------|--|------------------|-------|---|-----------|----------------------------|---|-----------------|
| Common Stock | | | | | | | | | |
| Common Stock | 06/24/2013 | | S ⁽¹⁾ | 200 | D | \$ 61.375 | 190,804 | D | |
| Common Stock | 06/24/2013 | | S ⁽¹⁾ | 1,300 | D | \$ 61.38 | 189,504 | D | |
| Common Stock | | | | | | | 14,885.5392 ⁽²⁾ | I | By Savings Plan |
| Common Stock | | | | | | | 21,950 ⁽³⁾ | I | By GRATs |

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

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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 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) | Amount or Number of Shares |
|---|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title |
| Employee Stock Option (Right to Buy) ⁽⁴⁾ | \$ 27.97 | 06/24/2013 | | M | 60,282 | ⁽⁵⁾ 11/06/2013 | Common Stock | 60,282 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|------------------|-------|
| | Director | 10% Owner | Officer | Other |
| JONES CLAYTON M M/S 124-323 400 COLLINS ROAD NE CEDAR RAPIDS, IA 52498-0001 | X | | Chairman and CEO | |

Signatures

Gary R. Chadick,
Attorney-in-Fact

06/25/2013

__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) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on March 15, 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 June 1, 2013.
 - (3) Indirectly owned by reporting person who serves as trustee of grantor retained annuity trusts (GRATs). The GRATs hold shares originally contributed by the reporting person.
 - (4) Employee stock options granted pursuant to the Company's stock based plans.
 - (5) The options became exercisable in three substantially equal installments on November 6, 2004, 2005 and 2006.

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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