

ROCKWELL COLLINS INC
Form 4
August 26, 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 *
SCHULTE MARSHA A

(Last) (First) (Middle)

M/S 124-318, 400 COLLINS ROAD
NE

(Street)

CEDAR RAPIDS, IA 52498-001

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
08/23/2013

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)

VP, Finance and Controller

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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	08/23/2013		M	600	A \$ 58.45	5,985.002 ⁽¹⁾	D
Common Stock	08/23/2013		M	3,200	A \$ 57.92	9,185.002 ⁽¹⁾	D
Common Stock	08/23/2013		M	4,533	A \$ 55.75	13,718.002 ⁽¹⁾	D
Common Stock	08/23/2013		M	2,400	A \$ 55.01	16,118.002 ⁽¹⁾	D
Common Stock	08/23/2013		S	6,933 ⁽²⁾	D \$ 71.69	9,185.002 ⁽¹⁾	D

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Common Stock	08/23/2013	S	3,800 <u>(2)</u>	D	\$ 72	5,385.002 <u>(1)</u>	D	
Common Stock						5,382.7093 <u>(3)</u>	I	By Savings Plan
Common Stock						2,466	I	Spouse's IRA

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)	8. Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Right to Buy) <u>(4)</u>	\$ 58.45	08/23/2013		M	600	<u>(5)</u> 04/26/2016	Common Stock	600	
Stock Option (Right to Buy) <u>(4)</u>	\$ 57.92	08/23/2013		M	3,200	<u>(5)</u> 11/09/2016	Common Stock	3,200	
Stock Option (Right to Buy) <u>(4)</u>	\$ 55.75	08/23/2013		M	4,533	<u>(6)</u> 11/19/2020	Common Stock	4,533	
Stock Option (Right to Buy) <u>(4)</u>	\$ 55.01	08/23/2013		M	2,400	<u>(7)</u> 11/14/2021	Common Stock	2,400	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SCHULTE MARSHA A M/S 124-318 400 COLLINS ROAD NE CEDAR RAPIDS, IA 52498-001			VP, Finance and Controller	

Signatures

Gary R. Chadick 08/26/2013

**Signature of Date
Reporting Person

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 August 1, 2013.
- (2) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 Trading Plan adopted by the reporting person on July 23, 2013.
- (3) 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 August 1, 2013.
- (4) Employee stock options granted pursuant to the Company's stock based plans.
- (5) The options are currently exercisable.
- (6) The option, representing a right to purchase a total of 6,800 shares, became exercisable in three [substantially] equal annual installments beginning on November 19, 2011, which was the first anniversary of the date on which the option was granted.
- (7) The option, representing a right to purchase a total of 7,200 shares, became exercisable in three [substantially] equal annual installments beginning on November 14, 2012, which was the first anniversary of the date on which the option was granted.

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.