

ROCKWELL COLLINS INC  
Form 4  
January 06, 2016

**FORM 4**

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 \*  
JASPER PHILIP J

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 120-102, 400 COLLINS ROAD  
NE

3. Date of Earliest Transaction  
(Month/Day/Year)  
01/04/2016

\_\_\_\_ Director  
 Officer (give title below)  
\_\_\_\_ 10% Owner  
\_\_\_\_ Other (specify below)  
Exec. VP & COO, Government Sys

(Street)

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

CEDAR RAPIDS, IA 52498

(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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	01/04/2016		M <sup>(1)</sup>		1,350 A \$ 74.05	13,719.317 (2)	D
Common Stock	01/04/2016		F <sup>(1)</sup>		1,102 D \$ 90.64	12,617.317 (2)	D
Common Stock	01/04/2016		M <sup>(1)</sup>		2,243 A \$ 74.05	14,860.317 (2)	D
Common Stock	01/04/2016		S <sup>(1)</sup>		2,243 D \$ 90.6	12,617.317 (2)	D
Common Stock	01/05/2016		M <sup>(1)</sup>		307 A \$ 74.05	12,924.317 (2)	D

Common  
Stock

1,215.673 <sup>(3)</sup> 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. Amount or Number of Shares
Employee Stock Option (Right to Buy) <sup>(4)</sup>	\$ 74.05	01/04/2016		M	3,593	<sup>(5)</sup> 11/13/2017	Common Stock	3,593
Employee Stock Option (Right to Buy) <sup>(4)</sup>	\$ 74.05	01/05/2016		M	307	<sup>(5)</sup> 11/13/2017	Common Stock	307

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
JASPER PHILIP J M/S 120-102 400 COLLINS ROAD NE CEDAR RAPIDS, IA 52498			Exec. VP & COO, Government Sys	

## Signatures

Vaughn M.  
Klopfenstein

01/06/2016

\_\_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 transactions reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 24, 2015.
  - (2) Includes shares acquired under the Company's employee stock purchase plan and based on information furnished by the Plan Administrator as of December 8, 2015. Includes shares acquired under a dividend reinvestment plan.
  - (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 December 1, 2015.
  - (4) Employee stock options granted pursuant to the Company's stock based plans.
  - (5) 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.