#### ALLEN PATRICK E

Form 4

October 02, 2018

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB

3235-0287 Number:

January 31, Expires: 2005

**OMB APPROVAL** 

burden hours per 0.5

Estimated average response...

5. Relationship of Reporting Person(s) to

Section 16. Form 4 or Form 5 obligations may continue.

Check this box

if no longer

subject to

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

2. Issuer Name and Ticker or Trading

See Instruction

1(b).

Stock

(Print or Type Responses)

1. Name and Address of Reporting Person \*

ALLEN PATRICK E			Symbol ROCKWELL COLLINS INC [COL]					Issuer				
			ROCK	WELL C	OLLINS	INC	[COL]	(Check all applicable)				
(Last)	(First)	(Middle)		f Earliest T	ransaction	1		D:+	100	0		
M/S 124-31	8, 400 COLLIN	S ROAD	(Month/Day/Year) 10/01/2018					Director 10% Owner 20 Officer (give title Other (specify				
NE	,		10,01,2	.010				below) Sr.	below) VP and CFO			
(Street) 2				endment, D	ate Origin	al		6. Individual or Joint/Group Filing(Check				
(4333)				nth/Day/Yea	Ü			Applicable Line)	•			
CTD . D D .	DYD G Y 1 50 100							_X_ Form filed by C				
CEDAR RA					Person							
(City)	(State)	(Zip)	Tab	le I - Non-	Derivative	e Secu	rities Acqu	uired, Disposed of	, or Beneficial	ly Owned		
1.Title of Security				3. Transacti	4. Securon(A) or D			5. Amount of Securities		7. Nature of Indirect		
(Instr. 3) any (Month/Day/			lav/Vear)	Code (Instr. 8)	(Instr. 3,	, 4 and	5)	Beneficially Owned	Beneficial Ownership			
		(Wionui/L	ay/ 1 car)	(msu. o)				Following	(D) or Indirect (I)	(Instr. 4)		
			(A)				Reported Transaction(s)					
				Codo V	Amount	or (D)	Price	(Instr. 3 and 4)				
Common	1010110010				6,571	` ´		69,442.649	_			
Stock	10/01/2018			A	(1)	A	\$ 0	(2)	D			
Common Stock	10/01/2018			F	2,906	D	\$ 141.27	66,536.649 (2)	D			
Common								7,126.3625	ī	By Savings		

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form

(3)

Savings

Plan

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# displays a currently valid OMB control number.

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exer	cisable and	7. Tit	le and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	orNumber	Expiration Date		Amou	ınt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Unde	rlying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	rities	(Instr. 5)	Bene
	Derivative				Securities			(Instr	. 3 and 4)		Own
	Security				Acquired						Follo
	·				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration	m: 1	or		
							Date	o	Number		
				C + V	(A) (D)				of		
				Code V	(A) (D)				Shares		

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

ALLEN PATRICK E M/S 124-318 400 COLLINS ROAD NE CEDAR RAPIDS, IA 52498-0001

Sr. VP and CFO

## **Signatures**

Joshua A. Mullin, Attorney-in-Fact

10/02/2018

\*\*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) Vesting of performance shares granted on November 9, 2015 under the Company's Long-Term Incentives Plan ("LTIP").
- (2) Includes shares acquired under the Company's employee stock purchase 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 September 1, 2018.

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.

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