ROCKWELL AUTOMATION INC

Form 4

October 05, 2016

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

30(h) of the Investment Company Act of 1940

2. Issuer Name and Ticker or Trading

3. Date of Earliest Transaction

4. If Amendment, Date Original

(Month/Day/Year)

Filed(Month/Day/Year)

3.

10/03/2016

ROCKWELL AUTOMATION INC

Check this box if no longer subject to

Section 16. Form 4 or Form 5

obligations may continue. See Instruction

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

Symbol

[ROK]

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person *

MILLER JOHN M

(Last) (First)

1201 SOUTH SECOND STREET

(Street)

MILWAUKEE, WI 53204

(City) (State)

1. Title of 2. Transaction Date 2A. Deemed

Security (Instr. 3)

(Month/Day/Year)

(Middle)

(Zip)

Execution Date, if (Month/Day/Year)

Code (Instr. 8)

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

Disposed of (D) (Instr. 3, 4 and 5)

TransactionAcquired (A) or

4. Securities

(A)

Code V Amount (D) Price

Persons who respond to the collection of

information contained in this form are not required to respond unless the form 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 Derivative Security

Conversion or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if

any

5. TransactionNumber Code of

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

OMB APPROVAL

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

VP and Chief IP Counsel

6. Ownership

Form: Direct

(D) or Indirect Beneficial

6. Individual or Joint/Group Filing(Check

X Form filed by One Reporting Person Form filed by More than One Reporting

(T)

(Instr. 4)

10% Owner Other (specify

7. Nature of

Ownership

(Instr. 4)

SEC 1474

(9-02)

Indirect

Issuer

below)

Person

5. Amount of

Securities

Owned

Beneficially

Following

Reported

Transaction(s) (Instr. 3 and 4)

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

Director

Applicable Line)

Officer (give title

Estimated average

burden hours per

7. Title and Amount of 8. **Underlying Securities** (Instr. 3 and 4)

Edgar Filing: ROCKWELL AUTOMATION INC - Form 4

(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr.	8)	Deriv Secur Acqu (A) o Dispo of (D (Instr 4, and	rities nired or osed O) r. 3,				
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Performance Shares	<u>(1)</u>	10/03/2016		A		56 (2)		<u>(3)</u>	12/04/2016	Common Stock	56

Reporting Owners

Reporting Owner Name / Address	Relationships

Director 10% Owner Officer Other

MILLER JOHN M VP and 1201 SOUTH SECOND STREET Chief IP MILWAUKEE, WI 53204 Counsel

Signatures

Karen A. Balistreri, Attorney-in-Fact for John M.
Miller

10/05/2016

**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) Each performance share represents a contingent right to receive one share of Company common stock (or the cash equivalent).
- On December 4, 2013, the reporting person was granted a target number of performance shares, with the payout from 0 to 200% of target (2) based on the Company's total shareowner return compared to the performance of companies in the S&P 500 Index over a three-year period. The payout was determined on October 3, 2016, resulting in the reported number of performance shares received.
- Each performance share represents a contingent right to receive one share of Company common stock (or the cash equivalent). The (3) performance shares vest on December 4, 2016, provided the reporting person is still an employee of the Company on that date, subject to limited exceptions.

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.

Reporting Owners 2