

ROCKWELL AUTOMATION INC
Form 4
November 14, 2016

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
MILLER JOHN M

2. Issuer Name and Ticker or Trading Symbol
ROCKWELL AUTOMATION INC [ROK]

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)

(Last) (First) (Middle)
1201 SOUTH SECOND STREET
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
11/11/2016

____ Director _____ 10% Owner
____ Officer (give title below) _____ Other (specify below)
VP and Chief IP Counsel

MILWAUKEE, WI 53204

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					358.8523	I	By Savings Plan ⁽¹⁾
Common Stock	11/11/2016		M	1,600 A \$ 69.57	8,105	D	
Common Stock	11/11/2016		M	3,600 A \$ 74.14	11,705	D	
Common Stock	11/11/2016		M	2,300 A \$ 80.11	14,005	D	
Common Stock	11/11/2016		M	1,133 A \$ 108.89	15,138	D	

Edgar Filing: ROCKWELL AUTOMATION INC - Form 4

Common Stock	11/11/2016	M	800	A	\$ 115.69	15,938	D
Common Stock	11/11/2016	S	9,433 <u>(2)</u>	D	\$ 130.9614	6,505	D <u>(3)</u>

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

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.

SEC 1474
(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)	Amount or Number of Shares
				Code V	(A) (D)	Date Exercisable Expiration Date	Title	
Employee Stock Option (Right to Buy)	\$ 69.57	11/11/2016		M	1,600	12/07/2011 12/07/2020	Common Stock	1,600
Employee Stock Option (Right to Buy)	\$ 74.14	11/11/2016		M	3,600	12/01/2012 12/01/2021	Common Stock	3,600
Employee Stock Option (Right to Buy)	\$ 80.11	11/11/2016		M	2,300	12/06/2013 12/06/2022	Common Stock	2,300
Employee Stock Option (Right to Buy)	\$ 108.89	11/11/2016		M	1,133	12/04/2014 12/04/2023	Common Stock	1,133
	\$ 115.69	11/11/2016		M	800	12/02/2015 12/02/2024		800

