

ROCKWELL AUTOMATION INC
Form 4
May 03, 2017

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 *
CRANDALL THEODORE D

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)
05/02/2017

____ Director _____ 10% Owner
____ Officer (give title below) _____ Other (specify below)
Senior Vice President

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					35.0128	I	By Savings Plan ⁽¹⁾
Common Stock	05/02/2017		M	1,300 A \$ 74.14	97,062.6663	D	
Common Stock	05/02/2017		M	1,400 A \$ 69.57	98,462.6663	D	
Common Stock	05/02/2017		M	16,237 A \$ 80.11	114,699.6663	D	
Common Stock	05/02/2017		S	18,727 ⁽²⁾ D \$ 156.1878	95,972.6663	D	

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Common Stock	05/02/2017	S	210 ⁽³⁾	D	\$ 157.0648	95,762.6663	D
Common Stock	05/03/2017	M	100	A	\$ 80.11	95,862.6663	D
Common Stock	05/03/2017	S	100	D	\$ 156	95,762.6663	D ⁽⁴⁾

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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 74.14	05/02/2017		M	1,300	12/01/2012	12/01/2021	Common Stock	1,300
Employee Stock Option (Right to Buy)	\$ 69.57	05/02/2017		M	1,400	12/07/2011	12/07/2020	Common Stock	1,400
Employee Stock Option (Right to Buy)	\$ 80.11	05/02/2017		M	16,237	12/06/2013	12/06/2022	Common Stock	16,237
Employee Stock Option (Right to Buy)	\$ 80.11	05/03/2017		M	100	12/06/2013	12/06/2022	Common Stock	100

