

ROCKWELL AUTOMATION INC

Form 3

May 02, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIESFiled 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 *

Â Murphy Robert B

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

05/02/2016

3. Issuer Name **and** Ticker or Trading Symbol

ROCKWELL AUTOMATION INC [ROK]

4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)1201 SOUTH SECOND
STREET

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☐ Officer ☐ Other

(give title below) (specify below)

Sr. VP Operations & Eng. Svcs.

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person

MILWAUKEE, WI 53204

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

490 ⁽¹⁾

D

Â

Common Stock

124.3653

I

By Savings Plan

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

SEC 1473 (7-02)

**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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative
Security
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)4. Conversion
or Exercise
Price of5. Ownership
Form of
Derivative6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	12/04/2014 ⁽²⁾	12/04/2023	Common Stock	2,000	\$ 108.89	D	Â
Employee Stock Option (Right to Buy)	12/02/2015 ⁽²⁾	12/02/2024	Common Stock	2,400	\$ 115.69	D	Â
Employee Stock Option (Right to Buy) - SO 12/03/2015	12/03/2016 ⁽²⁾	12/03/2025	Common Stock	2,700	\$ 104.08	D	Â
Common Stock Share Equivalents	Â ⁽⁴⁾	Â ⁽⁴⁾	Common Stock	25.6986	\$ ⁽³⁾	I	Non Qualified Savings Plan

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Murphy Robert B 1201 SOUTH SECOND STREET MILWAUKEE, WI 53204	Â	Â	Â Sr. VP Operations & Eng. Svcs.	Â

Signatures

Karen A. Balistreri, Attorney-in fact for Robert B Murphy

05/02/2016

 Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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) Shares held by the Company to implement restrictions on transfer unless and until certain conditions are met.
- (2) The option vests in three substantially equal annual installments beginning on the date exercisable.
- (3) Each unit is the economic equivalent of one share of Company common stock.
- (4) The share equivalents are payable in cash upon retirement or after termination of employment.

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.