

Kingsley Lawrence D
Form 4
December 04, 2017

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Kingsley Lawrence 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)

01/27/2015

____ Director

____ Officer (give title
below)

____ 10% Owner

____ Other (specify
below)

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	(A) or (D) Price			
Common Stock	01/27/2015		P ⁽¹⁾		870	A \$ 106.87	5,420.868	D	
Common Stock	09/22/2015		P ⁽¹⁾		600	A \$ 103.2	6,020.868	D	
Common Stock	09/28/2015		P ⁽¹⁾		365	A \$ 99.77	6,385.868	D	
Common Stock	11/12/2015		P ⁽¹⁾		375	A \$ 104	6,760.868	D	
Common Stock	02/05/2016		P ⁽¹⁾		125	A \$ 98.79	6,885.868	D	

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Common Stock	02/08/2016	<u>P</u> (1)	140	A	\$ 96.29	7,025.868	D
Common Stock	02/10/2016	<u>S</u> (1)	18	D	\$ 96.84	7,007.868	D
Common Stock	02/12/2016	<u>P</u> (1)	23	A	\$ 95.26	7,030.868	D
Common Stock	02/16/2016	<u>S</u> (1)	21	D	\$ 97.71	7,009.868	D
Common Stock	04/27/2016	<u>P</u> (1)	5	A	\$ 114.18	7,014.868	D
Common Stock	06/14/2016	<u>P</u> (1)	40	A	\$ 115.97	7,054.868	D
Common Stock	06/14/2016	<u>P</u> (1)	90	A	\$ 116	7,144.868	D
Common Stock	09/09/2016	<u>P</u> (1)	110	A	\$ 113.18	7,254.868	D
Common Stock	09/09/2016	<u>P</u> (1)	162	A	\$ 113.2	7,416.868	D
Common Stock	01/09/2017	<u>S</u> (1)	397	D	\$ 139.48	7,019.868	D
Common Stock	01/09/2017	<u>S</u> (1)	171	D	\$ 139.32	6,848.868	D
Common Stock	03/17/2017	<u>S</u> (1)	23	D	\$ 155.68	6,825.868	D
Common Stock	07/17/2017	<u>S</u> (1)	223	D	\$ 166.21	6,602.868	D
Common Stock	07/17/2017	<u>S</u> (1)	52	D	\$ 166.36	6,550.868	D

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

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(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	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Notional Derivative Security Beneficially Owned (Instr. 6)
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Disposed
of (D)
(Instr. 3,
4, and 5)

Trans
(Instr

Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other

Kingsley Lawrence D
1201 SOUTH SECOND STREET
MILWAUKEE, WI 53204

Signatures

Karen A. Balistreri, Attorney-in-Fact for Lawrence D.
Kingsley

12/04/2017

__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) The transactions reported in this Form 4 were executed by the reporting person's investment advisor in managed accounts as part of the investment advisor's implementation of large-cap investment strategies involving the securities of multiple issuers. The reporting person has voluntarily paid \$7,213.77 to the issuer, representing the full amount of any short-swing profit that would be payable if the reported transactions were deemed subject to Section 16(b) of the Securities Exchange Act of 1934, as amended.

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.