

ROCKWELL COLLINS INC  
Form 8-K  
November 03, 2017

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

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FORM 8-K  
CURRENT REPORT PURSUANT TO  
SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934

Date of Report (Date of earliest event reported):  
November 3, 2017 (November 3, 2017)

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Rockwell Collins, Inc.  
(Exact name of registrant as specified in its charter)

Delaware	001-16445	52-2314475
(State or other jurisdiction	(Commission	
of incorporation or organization)	File Number)	(I.R.S. Employer
		Identification No.)

400 Collins Rd NE	52498
Cedar Rapids, Iowa	(Zip Code)
(Address of principal executive	
officers)	

Registrant's telephone number, including area code: (319) 295-1000

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions.

- ☐ Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- ☐ Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- ☐ Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- ☐ Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

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INFORMATION TO BE INCLUDED IN THE REPORT

Item 7.01. Regulation FD Disclosure.

Several executive officers of Rockwell Collins, Inc. (the “Company”) entered into sales trading plans subsequent to the Company's recent earnings release pursuant to Rule 10b5-1 (“10b5-1 Plans”) of the Securities Exchange Act of 1934. Each plan has been approved by the Company in accordance with its Insider Trading Policy and is consistent with the executive's obligations under the Company's stock ownership guidelines. The plans are part of each executive’s transaction-related tax planning in light of the pending acquisition of the Company by United Technologies Corporation. Company executives may enter into Rule 10b5-1 trading plans in the future from time to time, and Company executives have previously entered into such trading plans.

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SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

ROCKWELL COLLINS, INC.  
(Registrant)

Dated: November 3, 2017 By /s/ Robert J. Perna  
Robert J. Perna  
Senior Vice President,  
General Counsel and Secretary