

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 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 Ownership Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock	01/27/2015		P(1)		870 \$ 106.87	5,420.868	D
Common Stock	09/22/2015		P(1)		600 \$ 103.2	6,020.868	D
Common Stock	09/28/2015		P(1)		365 \$ 99.77	6,385.868	D
Common Stock	11/12/2015		P(1)		375 \$ 104	6,760.868	D
Common Stock	02/05/2016		P(1)		125 \$ 98.79	6,885.868	D

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

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	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. Nu Deriv Secur Bene Own Follo Repo
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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.

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