

Laszkiewicz Michael
Form 3
July 02, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *

Laszkiewicz Michael

(Last) (First) (Middle)

1201 SOUTH SECOND STREET

(Street)

MILWAUKEE, WI 53204

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

07/02/2018

3. Issuer Name and Ticker or Trading Symbol

ROCKWELL AUTOMATION INC [ROK]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

____ Director ____ 10% Owner

____ Officer ____ Other
(give title below) (specify below)

SVP

6. Individual or Joint/Group Filing(Check Applicable Line)

☒ Form filed by One Reporting Person

____ Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. 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

4,904 ⁽¹⁾

D

As

Common Stock

300.9641 ⁽²⁾

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 of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

Edgar Filing: Laszkiewicz Michael - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Common Stock Share Equivalents	Â ⁽⁴⁾	Â ⁽⁴⁾	Common Stock	256.5442	\$ 0 ⁽³⁾	I	Nonqualified savings plan ⁽⁵⁾
Employee stock option (right to buy)	12/03/2016 ⁽⁶⁾	12/03/2025	Common Stock	2,100	\$ 104.08	D	Â
Employee Stock Option (Right to Buy)	12/06/2017 ⁽⁶⁾	12/06/2026	Common Stock	3,667	\$ 136.4	D	Â
Employee Stock Option (right to buy)	12/08/2018 ⁽⁶⁾	12/08/2027	Common Stock	3,900	\$ 192.86	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Laszkiewicz Michael 1201 SOUTH SECOND STREET MILWAUKEE, WI 53204	Â	Â	Â SVP	Â

Signatures

Karen A. Balistreri, Attorney-in-fact for Michael Laszkiewicz

07/02/2018

 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) Includes 2,677 shares held by the Company to implement restrictions on transfer unless and until certain conditions are met.
- (2) Shares represented by Company stock fund units acquired under the Company Savings Plan based on information furnished by the Plan Administrator as of 6/30/2018.
- (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.
- (5) Share equivalents represented by Company stock fund units acquired under the Company Nonqualified Savings Plan based on information furnished by the Plan Administrator as of 6/30/2018.
- (6) The option vests in three substantially equal annual installments beginning on the date exercisable.

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.