Edgar Filing: ROCKWELL AUTOMATION INC - Form 4

ROCKWELL AUTOMATION INC Form 4 December 04, 2006 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading EISENBROWN STEVEN A Issuer Symbol ROCKWELL AUTOMATION INC (Check all applicable) [ROK] (Last) (First) (Middle) 3. Date of Earliest Transaction Director 10% Owner Other (specify Officer (give title (Month/Day/Year) below) below) 1201 SOUTH SECOND STREET 11/30/2006 Sr. Vice President (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting MILWAUKEE, WI 53204 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) any Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) Direct (D) Ownership (Instr. 8) Owned Following or Indirect (Instr. 4) Reported (\mathbf{I}) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price By Common I 5,251.24 Savings Stock Plan (1) Common 11/30/2006 Μ 25.791 D 41,790 A 20.349 Stock Common 11/30/2006 M 6,400 Α \$ 15.5 48,190 D Stock Common 11/30/2006 S 200D D \$ 64.02 47,990 Stock Common 11/30/2006 S 600 D \$63.99 47,390 D Stock

Edgar Filing: ROCKWELL AUTOMATION INC - Form 4

Common Stock	11/30/2006	S	400	D	\$ 63.98 46,990	D
Common Stock	11/30/2006	S	1,200	D	\$ 63.97 45,790	D
Common Stock	11/30/2006	S	100	D	\$ 63.96 45,690	D
Common Stock	11/30/2006	S	100	D	\$ 63.9 45,590	D
Common Stock	11/30/2006	S	400	D	\$ 63.88 45,190	D
Common Stock	11/30/2006	S	100	D	\$ 63.87 45,090	D
Common Stock	11/30/2006	S	2,300	D	\$ 63.85 42,790	D
Common Stock	11/30/2006	S	200	D	\$ 63.84 42,590	D
Common Stock	11/30/2006	S	400	D	\$ 63.83 42,190	D
Common Stock	11/30/2006	S	300	D	\$ 63.79 41,890	D
Common Stock	11/30/2006	S	500	D	\$ 63.78 41,390	D
Common Stock	11/30/2006	S	1,600	D	\$ 63.77 39,790	D
Common Stock	11/30/2006	S	500	D	\$ 63.76 39,290	D
Common Stock	11/30/2006	S	1,100	D	\$ 63.75 38,190	D
Common Stock	11/30/2006	S	200	D	\$ 63.74 37,990	D
Common Stock	11/30/2006	S	700	D	\$ 63.73 37,290	D
Common Stock	11/30/2006	S	3,400	D	\$ 63.72 33,890	D
Common Stock	11/30/2006	S	2,100	D	\$ 63.71 31,790	D
Common Stock	11/30/2006	S	500	D	\$ 63.7 31,290	D
Common Stock	11/30/2006	S	200	D	\$ 63.66 31,090	D
	11/30/2006	S	500	D	\$ 63.62 30,590	D

Edgar Filing: ROCKWELL AUTOMATION INC - Form 4

Common Stock						
Common Stock	11/30/2006	S	800	D	\$ 63.59 29,790	D
Common Stock	11/30/2006	S	2,489 (2)	D	\$ 63.64 27,301	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.

 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. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed o (D) (Instr. 3, 4, and 5)	erivative Expiration Date ecurities (Month/Day/Year) cquired (A) Disposed of D) nstr. 3, 4,		Underlying S	7. Title and Amount of Jnderlying Securities Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Employee Stock Option (Right to Buy)	\$ 20.349	11/30/2006		М	25,791	10/04/2000	10/04/2009	Common Stock	25,791	
Employee Stock Option (Right to Buy)	\$ 15.5	11/30/2006		М	6,400	10/07/2003	10/07/2012	Common Stock	6,400	

Reporting Owners

Reporting Owner Name / Address	Relationships						
1	Director	10% Owner	Officer	Other			
EISENBROWN STEVEN A 1201 SOUTH SECOND STREET MILWAUKEE, WI 53204			Sr. Vice President				

Signatures

Karen A. Balistreri, Attorney-in-Fact for Steven A. Eisenbrown

12/04/2006

*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) Includes shares represented by Company stock fund units acquired under the Company's Savings Plan since the date of the reporting person's last ownership report, based on information furnished by the Plan Administrator as of 10/31/2006.
- (2) 3,400 shares are held by the Company to implement restrictions on transfer unless and until certain conditions are met.

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.