

Donato Thomas
Form 3
January 07, 2019

FORM 3

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

OMB APPROVAL

OMB
Number: 3235-0104
Expires: January 31,
2005
Estimated average
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**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 *

Â Donato Thomas

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

01/01/2019

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)

Senior Vice President

6. Individual or Joint/Group

Filing(Check Applicable Line)

X Form filed by One Reporting
Person

___ Form filed by More than One
Reporting Person

1201 SOUTH SECOND
STREET

(Street)

MILWAUKEE, WI 53204

(City)

(State)

(Zip)

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

2,150

D

Â

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)

Date Exercisable

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)

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

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		Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	12/02/2015 ⁽¹⁾	12/02/2024	Common Stock	1,000	\$ 115.69	D	Â
Employee stock option (right to buy)	12/03/2016 ⁽¹⁾	12/03/2025	Common Stock	3,100	\$ 104.08	D	Â
Employee Stock Option (Right to Buy)	12/06/2017 ⁽¹⁾	12/06/2026	Common Stock	3,400	\$ 136.4	D	Â
Employee Stock Option (right to buy)	12/08/2018 ⁽¹⁾	12/08/2027	Common Stock	3,900	\$ 192.86	D	Â
Employee stock option (right to buy)	12/04/2019 ⁽¹⁾	12/04/2028	Common Stock	5,600	\$ 171.46	D	Â
Restricted stock units	12/06/2019	12/06/2019	Common Stock	210	\$ ⁽²⁾	D	Â
Restricted stock units	12/08/2020	12/08/2020	Common Stock	240	\$ ⁽²⁾	D	Â
Restricted stock units	12/04/2021	12/04/2021	Common Stock	350	\$ ⁽²⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Donato Thomas 1201 SOUTH SECOND STREET MILWAUKEE, WI 53204	Â	Â	Â Senior Vice President	Â

Signatures

Karen A. Balistreri, Attorney-in-fact for Thomas
Donato

01/07/2019

__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) The option vests in three substantially equal annual installments beginning on the date exercisable.

(2) Each restricted stock unit represents a contingent right to receive one share of Rockwell Automation common stock.

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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