

ROCKWELL AUTOMATION INC

Form 4

November 10, 2004

**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

OMB  
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2005  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
SWANN JOSEPH 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)

3. Date of Earliest Transaction

(Month/Day/Year)

11/08/2004

\_\_\_\_ Director

☒ Officer (give title below)

\_\_\_\_ 10% Owner

\_\_\_\_ Other (specify below)

Sr. Vice President

777 EAST WISCONSIN  
AVENUE, SUITE 1400

(Street)

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

MILWAUKEE, WI 53202

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       |                                         |                                                             |                          | (A)<br>or<br>(D)                                                           | 28,092                                                                                                             | D                                                                    |                                                                   |
| Common<br>Stock                       |                                         |                                                             |                          | Code V Amount (D) Price                                                    | 2,580.7371                                                                                                         | I <sup>(1)</sup>                                                     | By Savings<br>Plan                                                |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474  
(9-02)

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**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |     | 7. Title and Amount<br>Underlying Security<br>(Instr. 3 and 4) |                    |                 |                            |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|-----|----------------------------------------------------------------|--------------------|-----------------|----------------------------|
|                                                     |                                                                       |                                         |                                                             | Code                                    | V                                                                                                            | (A)                                                            | (D) | Date Exercisable                                               | Expiration<br>Date | Title           | Amount<br>Number<br>Shares |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 20.349                                                             |                                         |                                                             |                                         |                                                                                                              |                                                                |     | 10/04/2000                                                     | 10/04/2009         | Common<br>Stock | 3                          |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 11.6038                                                            |                                         |                                                             |                                         |                                                                                                              |                                                                |     | 10/02/2001                                                     | 10/02/2010         | Common<br>Stock | 9                          |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 13.4                                                               |                                         |                                                             |                                         |                                                                                                              |                                                                |     | 10/01/2002                                                     | 10/01/2011         | Common<br>Stock | 9                          |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 15.5                                                               |                                         |                                                             |                                         |                                                                                                              |                                                                |     | 10/07/2003 <sup>(2)</sup>                                      | 10/07/2012         | Common<br>Stock | 9                          |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 27.75                                                              |                                         |                                                             |                                         |                                                                                                              |                                                                |     | 10/06/2004 <sup>(2)</sup>                                      | 10/06/2013         | Common<br>Stock | 9                          |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 43.9                                                               | 11/08/2004                              |                                                             | A                                       |                                                                                                              | 80,000                                                         |     | 11/08/2005 <sup>(2)</sup>                                      | 11/08/2014         | Common<br>Stock | 8                          |
| Common<br>Stock Share<br>Equivalents                | <sup>(3)</sup>                                                        |                                         |                                                             |                                         |                                                                                                              |                                                                |     | <sup>(4)</sup>                                                 | <sup>(4)</sup>     | Common<br>Stock | 5,2                        |

## Reporting Owners

| Reporting Owner Name / Address                                                   | Relationships                             |
|----------------------------------------------------------------------------------|-------------------------------------------|
|                                                                                  | Director    10% Owner    Officer    Other |
| SWANN JOSEPH D<br>777 EAST WISCONSIN AVENUE<br>SUITE 1400<br>MILWAUKEE, WI 53202 | Sr. Vice President                        |

## Signatures

K. A. Balistreri, Attorney-in-Fact for Joseph D.  
Swann

11/10/2004

\_\_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) Shares represented by Company stock fund units under the Company's Savings Plan which were acquired on a periodic basis pursuant to the Plan, based on information furnished by the Plan Administrator as of 11/01/2004.
- (2) The Option vests in three substantially equal annual installments beginning on the date exercisable.  
Share equivalents represented by Company stock fund units credited under the Company's nonqualified savings plan based on information furnished by the Plan Administrator as of 11/01/2004. The number of share equivalents represented by the balance of a participant's Company stock fund account may not exactly equal the number of share equivalents represented by a prior balance plus additions due to variances in the proportion of uninvested cash held in the reference fund used to determine unit values of the Company stock fund under the plan.
- (4) The share equivalents are payable in cash upon retirement or after termination of employment.

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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