

Parfet Donald R
Form 4
February 07, 2018

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Parfet Donald R

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)
02/06/2018

____ Director
____ Officer (give title below)
____ 10% Owner
____ Other (specify below)

MILWAUKEE, WI 53204
(City) (State) (Zip)

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

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 (A) 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 (Instr. 4)
				(A) or (D)	Price		
Common Stock	02/06/2018		A	213 ⁽¹⁾ A	\$ 0	10,573	D

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

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SEC 1474 (9-02)

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

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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 Disposed of (D) (Instr. 3, 4, and 5)	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. Number of Deriv Secur Bene Own Follo Repo Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other

Parfet Donald R
1201 SOUTH SECOND STREET
MILWAUKEE, WI 53204

Signatures

Karen A. Balistreri, Attorney-in-fact for Donald R. Parfet	02/07/2018
**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 delivered as compensation for service as a director under the 2003 Directors Stock Plan.
- 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. ite">

Aggregate Gross Unrealized Depreciation of all Unaffiliated Securities

(6,862,103)

Net Unrealized Appreciation/Depreciation of all Unaffiliated Securities

\$ (6,267,775)

Aggregate Cost of All Unaffiliated Securities for Income Tax Purposes

\$11,809,805

RENN Global Entrepreneurs Fund, Inc.
Schedule of Investments
December 31, 2012

SCHEDULE OF INVESTMENTS

Affiliated Investments

Shares or Principal Amount	Company	Cost	Value(9)
	CONVERTIBLE PROMISSORY NOTES – 0.88% (2)(6) Semiconductor & Related Devices – 0.88% Plures Technologies Inc. 2% Promissory Note Maturity		
\$ 112,501	April 25, 2014 (7)	\$ 112,501	\$ 99,000
	Total Affiliated Convertible Promissory Notes	112,501	99,000
	CONVERTIBLE PREFERRED EQUITIES – 20.33% (2)(3)(6) Communication Services – 12.80%		
233,229	AnchorFree, Inc. Series A Convertible Preferred (1)	419,812	1,443,357
37.5	Nutraceuticals – 0.02% iSatori Inc. Preferred D (7)(12)	75,000	2,664
625	Semiconductors and Related Devices – 7.51% Plures Technologies, Inc. Preferred A (4) (7)	500,000	846,445
	Total Affiliated Other Securities	994,812	2,292,466
	COMMON EQUITIES – 30.92% (2)(3)(6) Nutraceuticals – 28.09%		
1,113,790	iSatori Inc. (7)(12)	9,056,721	3,167,098
120,774	Semiconductors and Related Devices – 2.83% Plures Technologies, Inc. (4)(7)	5,738,972	318,840
	Total Affiliated Common Equities	14,795,693	3,485,938
	MISCELLANEOUS SECURITIES – 1.69% (2)(3)(6) Communication Services – 0.82%		

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15,023	AnchorFree, Inc., options to buy (1) (10) Semiconductors and-Related Devices – 0.87%	68,411	92,971
37,500	Plures Technologies, Inc., Warrants to buy (4)(7)((11)	0	98,625
	Total Affiliated Miscellaneous Securities	68,411	191,596
	TOTAL AFFILIATED INVESTMENTS	15,971,417	6,069,000
	TOTAL UNAFFILIATED INVESTMENTS	11,809,805	5,542,030
	TOTAL INVESTMENTS	\$27,781,222	\$11,611,030
	OTHER ASSETS AND LIABILITIES	0	(337,822)
	TOTAL NET ASSETS		\$11,273,208

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RENN Global Entrepreneurs Fund, Inc.
Schedule of Investments
December 31, 2012

INFORMATION REGARDING RESTRICTED SECURITIES AND CONTROLLED AFFILIATES

	Date(s) Acquired	Cost 9/30/12	Cost 12/31/12	Value(9) 12/31/12	% of Net Assets
AnchorFree, Inc.(1)(2)(3)					
Preferred Series A	4/15/11	\$ 419,812	\$ 419,812	\$1,443,357	12.80%
AnchorFree, Inc. (1)(2)(3)(10)					
Options to buy @ \$0.3971	6/29/12	68,411	68,411	92,971	0.82
Plures Technologies, Inc.(2)(7)					
Convertible Promissory Note	10/15/12	0	112,501	99,000	0.88
Plures Technologies, Inc. (2)(3)(4)(7)					
Preferred A Equity	5/23/11	500,000	500,000	846,445	7.51
Plures Technologies, Inc. (2)(3)(4)(7)					
Common Equity	- 4/1/12	5,738,972	5,738,972	318,840	2.83
Plures Technologies, Inc. (2)(3)(4)(7)					
Warrants to buy	10/15/12	0	0	98,625	0.87
iSatori Technologies, Inc..					
Preferred D Equity (2)(3)(7)(12)	10/13/99	75,000	75,000	2,664	0.02
iSatori Technologies, Inc. (2)(3)(7)(12)					
Common Equity	10/2/98 - 12/31/10	9,056,721	9,056,721	3,167,098	28.09
Total Restricted /Controlled					
Affiliated Securities		\$15,858,916	\$15,971,417	\$6,069,000	53.82%

(1) Securities in a privately owned company.

(2) "Affiliated" generally means that the Fund (and/or affiliated funds) has a director on issuer's board and/or the Fund owns more than 5% of the issuer's voting shares.

(3) Non-Income-Producing.

Explanation of Responses:

- (4) Securities exempt from registration under Rule 144A of the Securities Act of 1933 may be sold in transactions exempt from registration, normally to qualified institutional buyers. At December 31, 2012 the aggregate value of the restricted common securities was \$317,824 representing 2.82% of net assets. The restricted common shares were purchased or granted between July 1, 1998 and April 1, 2012. At December 31, 2012, the value of the restricted preferred securities was \$846,445 representing 7.51% of net assets. The restricted preferred securities were purchased on May 23, 2011. The Fund owns 385 shares of common stock of Plures Technologies Inc. which are not restricted but these shares would have to be sold under Rule 144. The remaining shares still bear the restrictive legend and are eligible for sell under Rule 144. At December 31, 2012 the aggregate value of the unrestricted securities was \$1,016 representing 0.01% of net assets.
- (5) These securities or a portion of these securities are pledged as collateral against the due-to-broker balance (margin loan).
- (6) Percentage is calculated as a percentage of net assets.
- (7) "Controlled" generally means the Fund (and/or affiliated funds) owns 20% or more of the issuer's shares.
- (8) Security is in default.
- (9) See Fair Value Measurements as set forth in Note 5 to the Financials.
- (10) These options represent the ability to purchase 15,023 common shares of AnchorFree Inc. at \$0.3971 per share. These options were issued as compensation for Russell Cleveland's advisory services to the board of directors. These options expire three months after Russell Cleveland ceases to be a service provider. See Note 8 Related Party Transactions in the Notes to the Financial Statements.
- (11) These warrants represent the ability to purchase 37,500 shares of common stock of Plures Technologies, Inc. at \$0.01 per share. These warrants expire October 15, 2016.
- (12) Securities exempt from registration under Rule 144A of the Securities Act of 1933 may be sold in transactions exempt from registration, normally to qualified institutional buyers. At December 31, 2012 the aggregate value of the restricted common securities of iSatori Inc. was \$3,167,098 representing 28.09% of net assets. The restricted common shares were converted or granted between October 2, 1998 and December 31, 2010. At December 31, 2012, the value of the restricted preferred securities was \$2,664 representing 0.02% of net assets. The restricted preferred shares were purchased on October 13, 1999.

RENN Global Entrepreneurs Fund, Inc.
Statement of Assets and Liabilities
December 31, 2012

ASSETS

As sets:

Investments at fair value, cost of \$27,781,222	\$11,611,030
Cash and cash equivalents	1,515,194
Interest and dividends receivable	896
Prepaid and other assets	19,475
Total assets	\$13,146,595

LIABILITIES AND NET ASSETS

Liabilities:

Due to broker – margin	\$ 1,800,238
Accounts payable	14,317
Accounts payable – affiliate	58,832
Total liabilities	\$ 1,873,387

Net assets:

Common Stock, \$1 par value, 20,000,000 shares authorized, 4,673,867 shares issued, and 4,463,967 shares outstanding	\$ 4,673,867
Additional paid in capital	24,148,070
Treasury stock, 209,900 shares, at cost	(1,734,967)
Accumulated net realized gain on investments	356,430
Net unrealized depreciation of investments	(16,170,192)
Total net assets	\$11,273,208

Net asset value per share

\$ 2.53

See Accompanying Notes to Financial Statements

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RENN Global Entrepreneurs Fund, Inc.

Statement of Operations
Year Ended December 31, 2012

Investment income:	
Interest income – affiliated company	\$ 733
Dividend income	31,275
Other income – affiliated companies	98,635
	130,643
Expenses:	
General and administrative	27,931
Investor relations	44,843
Interest expense	7,633
Legal fees	211,100
Audit and accounting fees	84,733
Directors’ fees and expenses	93,000
Insurance expense	60,564
Management fee to affiliate	196,727
	726,531
Net investment loss	(595,888)
Realized and unrealized gain (loss) on investments:	
Net unrealized appreciation of investments	3,704,473
Net realized loss on investments – unaffiliated companies	(553,077)
Net realized loss on investments – affiliated companies	(783,990)
Net gain on investments	2,367,406
Net increase in net assets resulting from operations	\$1,771,518
Net increase in net assets resulting from operations per share	\$ 0.40
Weighted average shares outstanding	4,463,967

See Accompanying Notes to Financial Statements

RENN Global Entrepreneurs Fund, Inc.
 Statements of Changes in Net Assets
 Years Ended December 31, 2012 and 2011

	2012	2011
From operations:		
Net investment loss	\$ (595,888)	\$ (833,236)
Net realized loss on investment	(1,337,067)	(3,577,272)
Net unrealized appreciation of investments	3,704,473	1,439,521
Net increase (decrease) in net assets		
resulting from operations	1,771,518	(2,970,987)
Net assets:		
Beginning of period	9,501,690	12,472,677
End of period	\$11,273,208	\$ 9,501,690

See Accompanying Notes to Financial Statements

RENN Global Entrepreneurs Fund, Inc.
Statement of Cash Flows
Year Ended December 31, 2012

Cash flows from operating activities:	
Increase in net assets resulting from operations	\$ 1,771,518
Adjustments to reconcile increase in net assets to net cash provided by (used in) operating activities:	
Net unrealized appreciation of investments	(3,704,473)
Net realized loss on investments	1,337,067
Increase in interest and dividend receivable	(868)
Increase in prepaid and other assets	(1,050)
Increase in accounts payable	10,151
Increase in accounts payable-affiliate	9,552
Purchase of investments	(3,462,756)
Proceeds from sale of investments	3,865,330
Net cash used in operating activities	(175,529)
Cash flows from financing activities:	
Net margin proceeds	1,516,667
Net cash provided by financing activities	1,516,667
Net increase in cash and cash equivalents	1,341,138
Cash and cash equivalents at beginning of the period	174,056
Cash and cash equivalents at end of the period	\$ 1,515,194
Supplemental cash flow information	
Cash paid for interest	\$ 7,633

See Accompanying Notes to Financial Statements

RENN Global Entrepreneurs Fund, Inc.
Notes to Financial Statements
December 31, 2012

Note 1 Organization and Business Purpose

RENN Global Entrepreneurs Fund, Inc. (the “Fund”), is a registered, non-diversified, closed-end management investment company under the Investment Company Act of 1940, as amended (the “1940 Act”).

The Fund, a Texas corporation, was organized and commenced operations in 1994 and is registered under and pursuant to the provisions of Section 8(a) of the 1940 Act.

The investment objective of the Fund is to provide its stockholders primarily with long-term capital appreciation by investing substantially in privately-placed convertible and equity securities of emerging growth companies traded on U.S. securities exchanges.

RENN Capital Group, Inc. (“RENN Group”), a Texas corporation, serves as the Investment Adviser to the Fund. In this capacity, RENN Group is primarily responsible for the selection, evaluation, structure, valuation, and administration of the Fund’s investment portfolio, subject to the supervision of the Board of Directors. RENN Group is a registered investment adviser under the Investment Advisers Act of 1940, as amended.

Note 2 Summary of Significant Accounting Policies

Valuation of Investments

Portfolio investments are stated at quoted market or fair value as determined in good faith by the Fund’s Board of Directors (Note 5).

Revenue Recognition

The Fund recognizes realized gain/loss in the period of the sale based upon the identified cost basis. Change in unrealized gain/loss is reflected during the period of the change. Dividend income is recorded on the record date. Interest income is recorded as earned on an accrual basis. For debentures that are late in making payments as scheduled in the note agreements, the Fund determines whether to continue accruing interest on the note based upon the current circumstances facing the companies. The Fund reserves any dividends or interest income that it determines to be potentially uncollectible based upon an analysis of several factors used in assessing the financial condition of each company.

Cash and Cash Equivalents

As of December 31, 2012, cash and cash equivalents are at risk to the extent that they exceed Federal Deposit Insurance Corporation insured amounts. The Fund has not experienced any losses as a result of this risk. The Fund considers all highly liquid debt instruments with original maturities of three months or less to be cash equivalents. As of December 31, 2012, cash equivalents were held in the Federated Prime Obligations Fund which is not covered by depository insurance.