



Notice of Changes to the Rockwell Automation Flexible Benefits Plan Effective January 1, 2021

Under the Taxpayer Certainty and Disaster Tax Relief Act of 2020 (the “Act”), which was signed into law on December 27, 2020, employers may modify their flexible spending account (“FSA”) carryover to allow employees greater ability to use leftover amounts in their FSAs in 2021 and 2022. The following is a summary of how the Rockwell Automation has implemented these changes under the Rockwell Automation Flexible Benefits Plan. Please contact the Rockwell Automation Service Center at 877.687.7272 if you have questions.

Flexible Spending Accounts Carry Over

All employees have the option of carrying over the full amount remaining in their dependent care FSAs and health care FSAs at the end of the 2020 plan year into 2021, to be used to pay claims incurred during the 2021 plan year. Similarly, employees may carry the full amounts remaining in dependent care FSAs and health care FSAs at the end of the 2021 plan year into 2022, to be used to pay claims incurred in the 2022 plan year. If you have made a corresponding FSA election for 2021, the carryover of funds remaining in the applicable 2020 FSA will happen automatically. In other words, if you have funds remaining in both a dependent care FSA from 2020 and a health care FSA from 2020, you must have enrolled in each type of FSA for the funds remaining in each 2020 FSA to carryover automatically. An enrollment in a health care FSA for 2021 will not result in remaining funds from a 2020 dependent care FSA being automatically carried over, and an enrollment in a dependent care FSA for 2021 will not result in remaining funds from a 2020 health care FSA being automatically carried over. See “Access to Carry Over Funds from 2020 for Employees Who Did Not Enroll for 2021” if you did not make an FSA election for 2021 and would like the ability to use carryover funds this year or next. This carryover option is not available to former employees.

Change in Enrollment in Flexible Spending Accounts

Rockwell will allow employees to change their dependent care or health care 2021 FSA elections or to newly enroll in an FSA for 2021 without a qualifying enrollment event. Employees may make prospective changes to their 2021 FSA elections at any time and for any reason. Because changes may only be made prospectively, no refunds for amounts previously contributed to a FSA can be made.

Access to Carry Over Funds from 2020 for Employees Who Did Not Enroll for 2021

If you have amounts remaining in 2020 FSAs and did not choose to enroll in an FSA for plan year 2021 during open enrollment, you must enroll in an FSA for 2021 to access carried over funds from your 2020 FSA. If you enroll in an FSA to carry over funds from your 2020 FSA, you will not be required to contribute additional funds to your 2021 FSA.

For employees who were participating in the MAVERICK FSA plan in 2020 (“MAVERICK Participants”), Rockwell will automatically create an FSA containing any balance remaining from their 2020 Maverick FSA at the end of the runout period, including for MAVERICK participants who have not already enrolled in an FSA for 2021 under the Rockwell Flexible Benefits Plan. Because of the change in plan and recordkeeper for MAVERICK employees starting in 2021, Rockwell will not know the final carryover balance for such employees until early April. Once those carryover amounts are credited to the Rockwell Automation Flexible Benefits Plan, MAVERICK Participants will be able to use those amounts to cover expense incurred during the period beginning January, 2021 and ending December 31, 2022.

Dependent Care FSA Expenses for Children Who Turned 13 in 2020

If you were enrolled in a 2020 dependent care FSA and had a child who turned age 13 during the 2020 plan year, you may use carryover dependent care FSA amounts to reimburse expenses incurred with respect to such child in the 2021 plan year until the child turns age 14, provided you are enrolled in an FSA in 2021.

We provide this brief overview for employees and other plan participants. However, this overview is not intended to be a complete explanation of the various plans. Detailed descriptions of individual plans and policies are found in the respective Summary Plan Descriptions (SPDs). The Company hopes to continue these plans indefinitely but reserves the right to amend, suspend or terminate plans in whole or in part at any time. Further, this overview does not create nor imply a contract of employment.