

UNITED TECHNOLOGIES CORP /DE/

Form 3

November 09, 2007

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

**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 Bowler J Thomas JR

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/01/2007

3. Issuer Name and Ticker or Trading Symbol

UNITED TECHNOLOGIES CORP /DE/ [UTX]

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)

SVP, Human Resources and Org.

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting Person

UNITED TECHNOLOGIES CORPORATION,Â ONE FINANCIAL PLAZA

(Street)

HARTFORD,Â CTÂ 06101

(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

11,142.4924

I

By Savings Plan Trustee

Common Stock (Career Restricted)

2,640

D

Â

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

SEC 1473 (7-02)

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**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)

3. Title and Amount of Securities Underlying Derivative Security

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
Non-Qualified Stock Option (right to buy)	01/03/2003	01/02/2010	Common Stock	26,600	\$ 31.25	D	Â
Non-Qualified Stock Option (right to buy)	01/02/2004	01/01/2011	Common Stock	33,200	\$ 37.625	D	Â
Non-Qualified Stock Option (right to buy)	04/26/2004	04/25/2011	Common Stock	100,000	\$ 38.5	D	Â
Non-Qualified Stock Option (right to buy)	01/02/2005	01/01/2012	Common Stock	45,000	\$ 32.17	D	Â
Non-Qualified Stock Option (right to buy)	01/02/2006	01/01/2013	Common Stock	50,800	\$ 31.705	D	Â
Non-Qualified Stock Option (right to buy)	01/09/2007	01/08/2014	Common Stock	40,000	\$ 46.76	D	Â
Non-Qualified Stock Option (right to buy)	01/03/2008	01/02/2015	Common Stock	38,000	\$ 51.5	D	Â
Stock Appreciation Right	01/03/2009	01/02/2016	Common Stock	25,500	\$ 56.53	D <sup>(1)</sup>	Â
Stock Appreciation Right	01/03/2010	01/02/2017	Common Stock	28,000	\$ 62.81	D <sup>(2)</sup>	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bowler J Thomas JR UNITED TECHNOLOGIES CORPORATION ONE FINANCIAL PLAZA HARTFORD, CT 06101	Â	Â	Â SVP, Human Resources and Org.	Â

## Signatures

By: /s/ Charles F. Hildebrand as  
Attorney-in-Fact 11/09/2007

\_\_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).

The reporting person was also awarded 7,800 performance share units (PSUs) under the UTC Long Term Incentive Plan. Each PSU has a value equal to one share of UTC common stock. These PSUs vest solely upon achievement of pre-established performance targets for UTC's earnings per share and total shareholder return over a three year performance period.

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- (2) value equal to one share of UTC common stock. These PSUs vest solely upon achievement of pre-established performance targets for UTC's earnings per share and total shareholder return over a three year performance period.

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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