

UNITED TECHNOLOGIES CORP /DE/

Form 3

April 20, 2007

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

Washington, D.C. 20549

OMB APPROVAL

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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 Valentine Debra A

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

04/11/2007

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)

VP, Deputy GC and Secretary

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

25,534

D

Â

Common Stock

420.909

I

By Savings Plan Trustee

Common Stock (Restricted)

10,000

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)**

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| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 3. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 4) |                                  | 4. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 5. Ownership<br>Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) | 6. Nature of Indirect<br>Beneficial<br>Ownership<br>(Instr. 5) |
|---|--|--------------------|--|----------------------------------|--|--|--|
|   | Date<br>Exercisable  | Expiration<br>Date | Title  | Amount or<br>Number of<br>Shares |  |  |  |
| Non-Qualified Stock<br>Option (right to buy)  | 01/12/2007   | 01/11/2014         | Common<br>Stock  | 31,600                           | \$ 46.4749   | D  | Â  |
| Non-Qualified Stock<br>Option (right to buy)  | 01/03/2008   | 01/02/2015         | Common<br>Stock  | 32,000                           | \$ 51.5  | D  | Â  |
| Stock Appreciation Right                      | 01/03/2009   | 01/02/2016         | Common<br>Stock  | 16,200                           | \$ 56.53   | D <sup>(1)</sup>   | Â  |
| Stock Appreciation Right                      | 01/03/2010   | 01/02/2017         | Common<br>Stock  | 20,500                           | \$ 62.81   | D <sup>(2)</sup>   | Â  |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                               |       |
|---|---------------|-----------|-------------------------------|-------|
|   | Director      | 10% Owner | Officer                       | Other |
| Valentine Debra A<br>UNITED TECHNOLOGIES CORPORATION<br>ONE FINANCIAL PLAZA<br>HARTFORD,Â CTÂ 06101 | Â             | Â         | Â VP, Deputy GC and Secretary | Â     |

## Signatures

By: /s/ Charles F. Hildebrand as  
Attorney-in-Fact 04/20/2007

\_\_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 4,980 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.

The reporting person was also awarded 5,600 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.

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.