

DAVID GEORGE AL
Form 4
November 03, 2004

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
DAVID GEORGE AL

2. Issuer Name and Ticker or Trading Symbol
UNITED TECHNOLOGIES CORP /DE/ [UTX]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

UNITED TECHNOLOGIES CORPORATION, ONE FINANCIAL PLAZA

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
11/01/2004

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman and CEO

HARTFORD, CT 06101

(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 | | 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) | |
|---------------------------------|--------------------------------------|--|---------------------|---|---|------------|---|--|-----------------------------------|-------|
| | | | Code | V | Amount | (A) or (D) | | | | Price |
| Common Stock | 11/01/2004 | | M | | 200,000 | A | \$ 19.5625 | 961,485 | D | |
| Common Stock | 11/01/2004 | | F | | 41,272 | D | \$ 94.8 | 920,213 | D | |
| Common Stock | 11/01/2004 | | F | | 49,920 | D | \$ 94.8 | 870,293 | D | |
| Common Stock | 11/02/2004 | | S | | 7,000 | D | \$ 94 | 863,293 | D | |
| | 11/02/2004 | | S | | 2,600 | D | \$ 94.01 | 860,693 | D | |

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| | | | | | | | |
|--------------|------------|---|--------|---|----------|------------------------|---|
| Common Stock | | | | | | | |
| Common Stock | 11/02/2004 | S | 400 | D | \$ 94.04 | 860,293 | D |
| Common Stock | 11/02/2004 | S | 200 | D | \$ 94.05 | 860,093 | D |
| Common Stock | 11/02/2004 | S | 900 | D | \$ 94.06 | 859,193 | D |
| Common Stock | 11/02/2004 | S | 900 | D | \$ 94.08 | 858,293 | D |
| Common Stock | 11/02/2004 | S | 1,400 | D | \$ 94.09 | 856,893 | D |
| Common Stock | 11/02/2004 | S | 2,500 | D | \$ 94.1 | 854,393 | D |
| Common Stock | 11/02/2004 | S | 700 | D | \$ 94.11 | 853,693 | D |
| Common Stock | 11/02/2004 | S | 600 | D | \$ 94.12 | 853,093 | D |
| Common Stock | 11/02/2004 | S | 300 | D | \$ 94.13 | 852,793 | D |
| Common Stock | 11/02/2004 | S | 800 | D | \$ 94.15 | 851,993 | D |
| Common Stock | 11/02/2004 | S | 1,100 | D | \$ 94.35 | 850,893 | D |
| Common Stock | 11/02/2004 | S | 1,000 | D | \$ 94.36 | 849,893 | D |
| Common Stock | 11/02/2004 | S | 2,300 | D | \$ 94.37 | 847,593 | D |
| Common Stock | 11/02/2004 | S | 200 | D | \$ 94.38 | 847,393 | D |
| Common Stock | 11/02/2004 | S | 2,200 | D | \$ 94.39 | 845,193 | D |
| Common Stock | 11/02/2004 | S | 10,400 | D | \$ 94.4 | 834,793 | D |
| Common Stock | 11/02/2004 | S | 16,100 | D | \$ 94.41 | 818,693 | D |
| Common Stock | 11/02/2004 | S | 6,600 | D | \$ 94.42 | 812,093 | D |
| Common Stock | 11/02/2004 | S | 900 | D | \$ 94.45 | 811,193 ⁽¹⁾ | D |
| | | | | | | 4,786.717 | I |

Common
Stock

By
Savings
Plan
Trustee

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

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(9-02)

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

| 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 Security (Instr. 3 and 4) | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title |
| Non-Qualified Stock Option (right to buy) | \$ 19.5625 | 11/01/2004 | | M | 200,000 | 09/04/1996 06/27/2005 | Common Stock | 2 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------|-------|
| | Director | 10% Owner | Officer | Other |
| DAVID GEORGE AL UNITED TECHNOLOGIES CORPORATION ONE FINANCIAL PLAZA HARTFORD, CT 06101 | X | | Chairman and CEO | |

Signatures

By: /s/ Charles F. Hildebrand as Attorney-in-Fact 11/02/2004

__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) The reporting person also directly owns 48,532 shares of United Technologies Career Restricted Common Stock.

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