FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

| OMB APPROVAL        |           |  |  |  |  |  |  |  |  |
|---------------------|-----------|--|--|--|--|--|--|--|--|
| OMB Number:         | 3235-0287 |  |  |  |  |  |  |  |  |
| Estimated average h | nurden    |  |  |  |  |  |  |  |  |

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

## Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

0.5 hours per response:

|   |          |                                   |                                     |   | or  | Sect   | ion 30(h) o                       | f thè Í  | nvestmen                                     | t Con             | npany Act c   | of 1940  |   |  |  |   |                    |                                  |    |
|---|----------|-----------------------------------|-------------------------------------|---|---|--|-----------------------------------|--|--|-------------------|---|--|---|--|--|---|--------------------|----------------------------------|----|
| Name and Address of Reporting Person*     Gitlin David L.   |          |                                   | U                                   | 2. Issuer Name and Ticker or Trading Symbol UNITED TECHNOLOGIES CORP /DE/ UTX ] |   |  |                                   |  |  |                   |   |  | 5. Relationship of Reporting Person(s) to Issue<br>(Check all applicable)<br>Director 10% Owr |  |  |   |                    |                                  |    |
|   |          |                                   |                                     |   |   |  |                                   |  |  |                   |   |  |   | Officer (g   |  |   | Other (s<br>below) | pecify                           |    |
| (Last) (First) (Middle) 10 FARM SPRINGS ROAD  |          |                                   |                                     |   | 3. Date of Earliest Transaction (Month/Day/Year) 02/05/2019 |  |                                   |  |  |                   |   |  |   | Pres & COO, Collins Aerospace  |  |   |                    |                                  |    |
| (Street)  |          |                                   |                                     |   | 4. If   | 4. If Amendment, Date of Original Filed (Month/Day/Year)       |                                   |  |  |                   |   |  |   |  | lividual or Joint/Group Filing (Check Applicable                   |   |                    |                                  |    |
| FARMING   | GTON CT  | Γ (                               | 06032                               |   |   |  |                                   |  |  |                   |   |  |   | X  | Form file  | d by One  | Repor              | ting Person                      |    |
| (City)  | (St      | ate) (                            | Zip)                                |   |   |  |                                   |  |  |                   |   |  |   |  | Form file<br>Person  | ed by More  | e than (           | One Reporti                      | ng |
|   |          | Tal                               | ole I - Nor                         | n-Deriv   | /ativ   | e Se   | curities                          | Acc  | quired,                                      | Dis               | posed of  | f, or Bei  | nefic   | ially (  | Owned  |   |                    |                                  |    |
| Dat   |          | Date                              | Transaction<br>te<br>onth/Day/Year) |   | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) |  | Transaction Disposed Code (Instr. |  | ties Acquired (A) o<br>l Of (D) (Instr. 3, 4 |                   | or<br>and 5)  | Beneficially<br>Owned Following  |   | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4)        |  | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership |                    |                                  |    |
|   |          |                                   |                                     |   |   |  |                                   | Code   | v  | Amount (A) or (D) |   | ice  | Reported<br>Transaction(s)<br>(Instr. 3 and 4)  |  |  |   | Instr. 4)          |                                  |    |
| Common Stock  |          |                                   |                                     |   |   |  |                                   |  |  |                   |   |  |   | 2,759  |  |   | I 2                | By<br>Savings<br>Plan<br>Frustee |    |
| Common Stock  |          |                                   |                                     |   |   |  |                                   |  |  |                   |   |  |   | 8,742  |  |   | I 5                | By<br>Spouse's<br>Frust          |    |
|   |          |                                   | Table II -                          |   |   |  |                                   |  |  |                   | osed of,<br>onvertib                                |  |   |  | wned   |   |                    |                                  |    |
| 1. Title of Derivative Security (Instr. 3)  2. Conversion or Exercise Price of Derivative Security  3. Transaction Date (Month/Day/Year) if any (Month/Day/ |          | Date, Transaction<br>Code (Instr. |                                     | Derivative  |   | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                                   | 7. Title and Amo<br>of Securities<br>Underlying<br>Derivative Secu<br>(Instr. 3 and 4) |  |                   | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported |   | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |   |                    |                                  |    |
|   |          |                                   |                                     |   | Code  | v  | (A)                               | (D)  | Date<br>Exercisal                            |                   | Expiration<br>Date                                  | Title  | Amo<br>or<br>Num<br>of Si   |  | per  |   | ion(s)             |                                  |    |
| Stock<br>Appreciation   | \$120.77 | 02/05/2019                        |                                     |   | A   |  | 101,500                           |  | 02/05/20                                     | 22                | 02/04/2029  | Common<br>Stock  | 101   | ,500   | \$120.77   | 101,50  | 0(1)               | D                                |    |

## **Explanation of Responses:**

1. The reporting person was also awarded 18,300 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 return on invested capital, earnings per share growth and total shareholder return relative to the S&P 500 index over a three-year time period.

/s/ Ariel R. David as Attorney-

in-Fact

\*\* Signature of Reporting Person

Date

02/07/2019

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

- \* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.