SEC Form 4

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 bi	urden
hours per response:	0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Addres	1 0	rson [*] ES CORP /DE/		ssuer Name and Tic is Worldwide				tionship of Reportir all applicable) Director	ng Perso X	on(s) to I 10% C	
(Last) 10 FARM SPRII	(First) NGS ROAD	(Middle)		Pate of Earliest Tran 19/2020	saction (Mont	h/Day/Year)		Officer (give title below)		Other below)	(specify
			_ 4. If	Amendment, Date	of Original Fil	ed (Month/Day/Year)	6. Indiv Line)	idual or Joint/Grou	o Filing	(Check /	Applicable
(Street) FARMINGTON	СТ	06032					X	Form filed by One Form filed by Mo		•	
(City)	(State)	(Zip)						Person			
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned											
1. Title of Security	(Instr. 3)	2. Transad Date (Month/Da		2A. Deemed Execution Date, if any	3. Transaction Code (Instr.	4. Securities Acquired (A) o Disposed Of (D) (Instr. 3, 4		5. Amount of Securities Beneficially		Direct ndirect	7. Nature of Indirect Beneficial

	(Month Day real)	(Month/Day/Year)	8)	8)			Owned Following Reported	(I) (Instr. 4)	Ownership (Instr. 4)	
			Code V Amount (A) or Price		Price	Transaction(s) (Instr. 3 and 4)		(11511 4)		
Common Stock, par value \$0.01 per share	03/19/2020		J ⁽¹⁾		433,079,455	D	\$ <u>0</u>	0 ⁽¹⁾	D	
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned										

								options, o)					
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. Transa Code (8)		of Deriv	r osed) r. 3, 4	6. Date Exercisable and Expiration Date (Month/Day/Year)		Expiration Date (Month/Day/Year) irites osed 3, 4		Secu Unde Deriv	unt of rities rlying ative rity (Instr.	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Expiration Exercisable Date		Title	Amount or Number of Shares						

Explanation of Responses:

1. The record date for the distribution by United Technologies Corporation of 100% of the shares of Otis Worldwide Corporation common stock to the holders of United Technologies Corporation common stock was at the close of business on March 19, 2020. The distribution of the Otis Worldwide Corporation shares is scheduled to occur on April 3, 2020.

/s/ Peter J. Graber-Lipperman,	
Corporate Vice President,	02/22/2020
Secretary and Associate	03/23/2020
General Counsel	
** Signature of Reporting Person	Date

** Signature of Reporting Person

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.

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