SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 OMB APPROVAL
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1. Name and Address JOHRI AKHI	1 0	n*	2. Issuer Name and Ticker or Trading Symbol UNITED TECHNOLOGIES CORP /DE/ UTX]		tionship of Reporting Perso all applicable) Director Officer (give title below)	on(s) to Issuer 10% Owner Other (specify below)
(Last) 10 FARM SPRIN	(First) IGS ROAD	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 02/20/2019		Executive VP an	,
(Street) FARMINGTON (City)	CT (State)	06032 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Filing Form filed by One Repor Form filed by More than Person	ting 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)					(A) or Disposed i)	5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
					Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		
Common Stock	02/20/2019		М		7,250 ⁽¹⁾	A	\$71.63	62,915.3589	D	
Common Stock	02/20/2019		S		3,210	D	\$128.4945 ⁽²⁾	59,705.3589	D	
Common Stock	02/20/2019		D		4,040	D	\$128.52	55,665.3589	D	
Common Stock								4,517	I	By Savings Plan Trustee

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

1															
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 Deri Sec Acq (A) Disp of (I	oosed D) tr. 3, 4	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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 Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Appreciatio Right	n \$71.63	02/20/2019		М			7,250	01/04/2013	01/03/2020	Common Stock	7,250	\$0.0000	0.0000	D	

Explanation of Responses:

1. The Stock Appreciation Rights (SARs) were settled in shares in accordance with terms of the award. For Section 16 reporting purposes, the exercise of SARs for stock is treated as an exempt acquisition of the shares underlying the SARs at the exercise price per share specified in the award of SARs and a simultaneous sale back to the issuer of a number of the underlying shares having a value, based on the market price of the issuer's stock on the date of the exercise, equal to the product of the number of underlying SARs times the exercise price per share.

2. The price reported in Column 4 is a weighted average price for shares sold in multiple transactions. The sale prices range from \$128.4900 to \$128.5050 per share. The reporting person has provided to the issuer, and undertakes to provide to the Commission staff or a security holder of the issuer, upon request, full information regarding the number of shares sold at each separate price within the range.

/s/ Ariel R. David as Attorneyin-Fact 02/22/2019

<u>-1 act</u>

** Signature of Reporting Person Date

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.