SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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1. Name and Address of Reporting Person [*] FINGER STEPHEN N	2. Date of Event Requiring Statement (Month/Day/Year) 07/01/2003		3. Issuer Name and Ticker or Trading Symbol UNITED TECHNOLOGIES CORP /DE/ [UTX]					
(Last) (First) (Middle)			4. Relationship of Reporting Per- (Check all applicable)			5. If Amendment, Date of Original Filed (Month/Day/Year)		
(Street) (City) (State) (Zip)			Director X Officer (give title below) President, Sikorsk	10% Owner Other (speci below) y Aircraft	Applic	 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person 		
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 or Indirect (I) (Instr. 5)	(D) (Instr. 5	4. Nature of Indirect Beneficial Ownership (Instr. 5)		
Common Stock			116	D				
Common Stock			5,224.464	I	By Sav	By Savings Plan Trustee		
Common Stock (Career Restricted)			2,800	D				
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise	Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)		
ESOP Series A Convertible Preferred Stock	08/08/1988	08/08/1988	Common Stock	4,345.444 ⁽¹⁾	0.0000	I	By ESOP	
Non-Qualified Stock Option (right to buy)	02/01/1997	01/31/2004	Common Stock	5,000	16.6563	D		
Non-Qualified Stock Option (right to buy)	02/06/1998	02/04/2005	Common Stock	14,000	16.2813	D		
Non-Qualified Stock Option (right to buy)	02/05/1999	02/03/2006	Common Stock	14,000	25	D		
Non-Qualified Stock Option (right to buy)	02/03/2000	02/02/2007	Common Stock	16,000	34.5	D		
Non-Qualified Stock Option (right to buy)	01/02/2001	01/01/2008	Common Stock	20,000	36.5625	D		
Non-Qualified Stock Option (right to buy)	01/04/2002	01/03/2009	Common Stock	20,000	54	D		
Non-Qualified Stock Option (right to buy)	01/03/2003	01/02/2010	Common Stock	21,700	62.5	D		
Non-Qualified Stock Option (right to buy)	01/02/2004	01/01/2011	Common Stock	22,000	75.25	D		
Non-Qualified Stock Option (right to buy)	04/26/2004	04/25/2011	Common Stock	50,000	77	D		
Non-Qualified Stock Option (right to buy)	01/02/2005	01/01/2012	Common Stock	36,700	64.34	D		
Non-Qualified Stock Option (right to buy)	01/02/2006	01/01/2013	Common Stock	38,000	63.41	D		
Phantom Stock Unit	08/08/1988 ⁽²⁾	08/08/1988 ⁽²⁾	Common Stock	811.0331	0.0000	D		

Explanation of Responses:

1. The shares were acquired during the year pursuant to the United Technologies Corporation Savings Plan, a 401(k) plan. The acquisition of such shares is exempt and shares are convertible or redeemable at the option of the employee, at the termination of employment with the Corporation. A share of ESOP stock is convertible into four shares of common stock and is entitled to 5.2 votes 2. Placeholder date entered in accordance with 5/7/03 SEC Staff instructions for electronic filers. Under the Plan, executives may elect to receive the value in a lump sum or in installments following retirement

or on specified dates after a five year deferral period.

By: /s/ Charles F. Hildebrand 07/09/2003 as Attorney-in-Fact

** 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 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).

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

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