SEC Form 4

FORM 4

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OMB APPROVAL

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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 or Section 30(h) of the Investment Company Act of 1940												0.5					
1. Name and Address of Reporting Person* O'Brien Anthony F				<u>R/</u>	2. Issuer Name and Ticker or Trading Symbol <u>RAYTHEON TECHNOLOGIES CORP</u> [RTX]						(Che	eck all applic Directo	,		on(s) to Issu 10% Ow Other (s	ner	
(Last) 870 WINT	(Firs TER STREE	,	/liddle)		3. Date of Earliest Transaction (Month/Day/Year) 02/08/2021							X Concer (give the below) below) EVP, Chief Financial Officer					
(Street) WALTHA (City)	M MA (Sta	te) (2	2451 ^{Zip)}	_						(Month/Day		Line) X Form fi Porm fi Person	iled by Or iled by Mo	ne Repo	(Check App orting Person o One Report	
1. Title of Security (Instr. 3) Date				ansaction	action 2A. Deemed Execution Date,			3. Transa Code (I	ransaction Disposed Of (D) (Instr. 3, 4 Code (Instr. 5)			l (A) or	5. Amour Securitie Beneficia Owned F Reported	s Illy ollowing	Form (D) or	: Direct I r Indirect E str. 4) 0	7. Nature of Indirect Beneficial Ownership (Instr. 4)
					Code	v	Amount	(A) or (D)	Price	Transacti	Transaction(s) (Instr. 3 and 4)			insu. 4)			
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)	Derivative Conversion Date Execution Date, Security or Exercise (Month/Day/Year) if any		Code	Transaction of Code (Instr. Derivative			Expiration Date or (Month/Day/Year) U D			7. Title and Amour 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 Exercisa		Expiration Date	Title	Amount or Number of Shares					
Restricted Stock Units	(1)	02/08/2021		Α		11,040		(1)		(1)	Common Stock	11,040	\$0.0000	87,3	30	D	
Stock Appreciation Right	\$72.49	02/08/2021		Α		50,200		02/08/20	24	02/07/2031	Common Stock	50,200	\$72.49	50,20	0 ⁽²⁾	D	

Explanation of Responses:

1. Each Restricted Stock Unit (RSU), including dividend equivalents that accrue during the vesting period, represents a contingent right to receive one share of RTX Common Stock. These RSUs vest on the third anniversary of the date of grant.

2. In addition to the stock appreciation rights (SARs) and not included in this number, the reporting person was also awarded 33,110 performance share units (PSUs) under the RTX Long-Term Incentive Plan. Each PSU has a value equal to one share of RTX Common Stock. These PSUs vest solely upon achievement of pre-established performance goals for RTX's return on invested capital (ROIC), earnings per share (EPS) growth and total shareholder return (TSR) relative to the S&P 500 and aerospace & defense peer companies. The performance period for EPS growth and ROIC is one-year, followed by a two-year holding period.

/s/ Dana Ng as Attorney-In-Fact 02/10/2021

** 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.