SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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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 Address of Reporting Person* DOKKUM JAN VAN	2. Date of Eve Requiring Sta (Month/Day/Y 11/25/2003	itement 'ear)	3. Issuer Name and Ticker or Trading Symbol <u>UNITED TECHNOLOGIES CORP /DE/</u> [ UTX ]					
(Last) (First) (Middle) UNITED TECHNOLOGIES CORPORATION			4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify below) below)		· (Mont 12/1	5. If Amendment, Date of Original Filed (Month/Day/Year) 12/12/2003		
ONE FINANCIAL PLAZA			President, UTC Power			6. Individual or Joint/Group Filing (Check Applicable Line)		
(Street)					X	Form filed by	One Reporting Person	
HARTFORD CT 06101						Form filed by Reporting Pe	More than One erson	
(City) (State) (Zip)								
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 (D) or Indirect (I) (Instr. 5)			Beneficial Ownership	
Common Stock			2,927	D				
Common Stock			57.5366	I By		Savings Plan Trustee		
Common Stock (Restricted)			5,000	D				
Table II - Derivative Securities Beneficially Owned           (e.g., puts, calls, warrants, options, convertible securities)								
Ex		cisable and ate Year)	3. Title and Amount of Securiti Underlying Derivative Security		4. Conversion or Exercise Price of	5. Ownership Form: Direct (D)	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	or Indirect (I) (Instr. 5)		
Non-Qualified Stock Option (right to bu	y) 01/02/2006	01/01/2013	Common Stock	30,000	63.41	D		
Phantom Stock Unit	(1)	(1)	Common Stock	1,397.3812	0.0000	D		

Explanation of Responses:

1. Deferred phantom stock units acquired at the election of the executive under the United Technologies Corporation Deferred Compensation Plan, in a transaction exempt under Rule 16b-3. Units are payable in cash following termination of employment, retirement or death.

**Remarks:** 

## By: /s/ Charles F. Hildebrand as Attorney-in-Fact

01/05/2004

\*\* 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.

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.