DAVID GEORGE AL

Form 5

February 14, 2003

SEC Form 5

FORM 5	UNITE	ED STATE	S SECURITI COMMISS		EXCHANO	GE	Or	MB APPROVAL	
[] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).		Washington, D.C. 20549 MENT OF CHANGES IN BENEFICIAL OWNERSHIP				OMB Number: 3235-0362 Expires: January 31, 2005 Estimated average burden hours per response 0.5			
[]Form 3 Holdings Reported []Form 4 Transactions Reported	Section 16(a) of the Securities Exchange Act of 1934, Public Utility any Act of 1935 or Section 30(f) of the Investment Cor								
1. Name and Address of Reporting Person* David, George A. L.		Issuer Name and Ticker or Trading Symbol		4. Statement for (Month/Year)		6. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (First) (Middle) United Technologies Corporation One Financial Plaza		United Technologies Corporation UTX		December 2002		X Director 10%			
(Street) Hartford, CT 06101	3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)		5. If Amendment, Date of Original (Month/Year)		Other Officer/Other Description Chairman and CEO				
(City) (State)	(Zip)					7. Individu Filing (C	al or Joint	/Group licable Line)	
Table I - Non-Derivative Secur	rities Acquired, I	Disposed of, or l	Beneficially Owne	d					
	saction Date nth/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acqu Disposed (D) Of (Instr. 3, 4, and	Securities		or Indi (Ins)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
If the form is filed by more than o			Amount Price	A/D	(msu. 3 and 4	,			

(over)

SEC 2270 (3-99)

David, George A. L. - December 2002

Form 5 (continued)

1 01111 0 (0	on contracta)	<u> </u>								
			/	ed of, or Bene vertible secur	eficially Owned ities)					
1. Title of	2. Conver-	3.	4.	5. Number of			8. Price	9. Number of	10.	11. Nature of
Derivative	sion or	Transaction	Transaction	Derivative	Exercisable(DE) and	Amount of	of	Derivative	Owner-	Indirect
Security	Exercise			Securities	Expiration	Underlying	Derivative	Securities	ship	Beneficial
(Instr. 3)	Price of		Code	Acquired (A)	Date(ED)	Securities	Security	Beneficially	Form of	Ownership
	Deri-	(Month/		or	(Month/Day/Year)	(Instr. 3	(Instr.5)	Owned	Deriv-	(Instr.4)
	vative	Day/		Disposed (D)		and 4)		at End of	ative	
	Security	Year)		Of				Year	Security:	

Edgar Filing: DAVID GEORGE AL - Form 5

				(Instr. 3,4 and 5)				Direct (D) or Indirect (I)	
ESOP Series A Convertible Preferred Stock	\$0.0000	12/31/2002	J	(A) 46.880 (1)	(DE) (ED)	Common Stock - 187.520	1,115.970	I	By Savings Plan Trustee
Non-Qualified Stock Option (right to buy)		01/02/2002	A	(A) 350,000.000	01/02/2005 01/01/2012	Common Stock - 350,000.000	350,000.000	D	

Explanation of Responses:

** Intentional misstatements or omissions of facts By: By: Charles F. Hildebrand, Attorney-in-Fact constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). ** Signature of Reporting Person Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, Power of Attorney See Instruction 6 for procedure. Page 2 SEC 2270 (3-99) Potential persons who are to respond to the collection of information contained in this form required to respond unless the form displays a currently valid OMB number.

David, George A. L. - December 2002

Form 5 (continued)

FOOTNOTE Descriptions for United Technologies Corporation UTX

Form 5 - December 2002

George A. L. David United Technologies Corporation One Financial Plaza Hartford, CT 06101

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.

Edgar Filing: DAVID GEORGE AL - Form 5

Page 3