

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - **All Filers Are Required To Complete This Page**

1. Registrant Name:

UNITED TECHNOLOGIES CORP

2. Address:

1401 EYE ST NW, SUITE 600, WASHINGTON, DC 20005

3. Principal place of business (if different from line 2):

City: HARTFORD State/Zip(or Country): CT 06101

4. Contact Name: JOHN NICHOLS

Telephone: 202-336-7414

E-mail (optional): nicholsj@corpdc.utc.com

Senate ID #: 39267-12

House ID #: 3076400

7. Client Name: ☒ Self

TYPE OF REPORT

8. Year 2001 Midyear (January 1 - June 30): ☒ **OR** Year End (July 1 - December 31): ☐

9. Check if this filing amends a previously filed version of this report: ☐

10. Check if this is a Termination Report: ☐ => Termination Date: 11. No Lobbying Activity: ☐

INCOME OR EXPENSES

Complete Either Line 12 **OR** Line 13

12. Lobbying Firms

INCOME relating to lobbying activities for this reporting period was:

Less than \$10,000: ☐

\$10,000 or more: ☐ => Income (nearest \$20,000): _____

Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).

13. Organizations

EXPENSES relating to lobbying activities for this reporting period were:

Less than \$10,000: ☐

\$10,000 or more: ☒ => Expenses (nearest \$20,000): 2,020,000.00

14. Reporting Method.

Check box to indicate expense accounting method. See instructions for description of options.

- ☐ **Method A.** Reporting amounts using LDA definitions only
☐ **Method B.** Reporting amounts under section 6033(b)(8) of the Internal Revenue Code
☒ **Method C.** Reporting amounts under section 162(e) of the Internal Revenue Code

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: AER (one per page)

16. Specific lobbying issues:

FY 02 Defense Budget, Commercial Engine Sales, Aircraft/Engine Noise, Recovery Audit Proposals (H.R. 2547), Blacklisting Rulemaking, NASA Authorization and Appropriations Legislation (H.R. 2620, S. 1216), TRAC Act (H.R. 721, S. 1152)

17. House(s) of Congress and Federal agencies contacted:

Commerce, Dept of (DOC)
Defense, Dept of (DD)
Executive Office of the President
Federal Aviation Administration (FAA)
HOUSE OF REPRESENTATIVES
Nat'l Aeronautics & Space Administration (NASA)
Office of Management & Budget (OMB)
SENATE
State, Dept of (DOS)
Transportation, Dept of (DOT)
U.S. Trade Representative (USTR)

18. Name of each individual who acted as a lobbyist in this issue area:

Name: BULLARD, ED

Covered Official Position (if applicable): (EFFECTIVE 07/01/99)

Name: COEN, LISA (CHANGE TO COEN, M.

Covered Official Position (if applicable): N/A

Name: COLLINS, EVA

Covered Official Position (if applicable): N/A

Name: MCKEON, THOMAS C.

Covered Official Position (if applicable): N/A

Name: SUMMERS, MICHAEL H.

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: AVI (one per page)

16. Specific lobbying issues:

Aviation Regulatory Issues, Commercial Engine Sales, Aircraft/Engine Noise Issues, Emissions Issues, FY 02 Transportation/FAA Appropriations (H.R. 2299, S. 1178), Aviation Repair Station Part 145 Rulemaking

17. House(s) of Congress and Federal agencies contacted:

Commerce, Dept of (DOC)
Executive Office of the President
Federal Aviation Administration (FAA)
HOUSE OF REPRESENTATIVES
Nat'l Aeronautics & Space Administration (NASA)
Office of Management & Budget (OMB)
SENATE
State, Dept of (DOS)
Transportation, Dept of (DOT)
U. S. Trade Representative (USTR)

18. Name of each individual who acted as a lobbyist in this issue area:

Name: BULLARD, ED
Covered Official Position (if applicable): (EFFECTIVE 07/01/99)
Name: COLLINS, EVA
Covered Official Position (if applicable): N/A
Name: ROBERT, WADE H.
Covered Official Position (if applicable): N/A
Name: WALSH, SUSAN M.
Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: BUD (one per page)

16. Specific lobbying issues:

FY 02 Transportation Appropriations (H.R. 2299, S. 1178), FY 02 DoD Appropriations, FY 02 Foreign Operations Appropriations (H.R. 2506), FY 02 VA-HUD-NASA Appropriations (H.R. 2620, S. 1216), FY 02 DOI Appropriations (H.R. 2217)

17. House(s) of Congress and Federal agencies contacted:

Environmental Protection Agency (EPA)

Executive Office of the President

HOUSE OF REPRESENTATIVES

Office of Management & Budget (OMB)

SENATE

State, Dept of (DOS)

18. Name of each individual who acted as a lobbyist in this issue area:

Name: CANEVARI, HOLLY

Covered Official Position (if applicable): STAFF MEMBER FOR REP. JOHN LARSON (D-CT)

Name: COEN, LISA (CHANGE TO COEN, M.

Covered Official Position (if applicable): N/A

Name: COLLINS, EVA

Covered Official Position (if applicable): N/A

Name: GRANDJEAN, SHERRY

Covered Official Position (if applicable): PROFESSIONAL STAFF MEMBER FOR SENATE FOREIGN RELATIONS COMMITTEE

Name: HELLIER, RICHARD G.

Covered Official Position (if applicable): N/A

Name: MCKEON, THOMAS C.

Covered Official Position (if applicable): N/A

Name: PEACE, CHRIS

Covered Official Position (if applicable): STAFF MEMBER FOR REP. DAVID HOBSON (R-OH)

Name: POLLARD, ALBERT W. JR

Covered Official Position (if applicable): N/A

Name: SUMMERS, MICHAEL H.

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: CAW/ (one per page)

16. Specific lobbying issues:

17. House(s) of Congress and Federal agencies contacted: **None**

18. Name of each individual who acted as a lobbyist in this issue area:

19. Interest of each foreign entity in the specific issues listed on line 16 above: **None**

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: DEF (one per page)

16. Specific lobbying issues:

FY 02 DoD Budget (H.R. 2586), FY 02 DoD Appropriations Bills, Commercial Practice Procurement, R&D/Procurement, Civil False Claims Reform, FY 02 NASA Budget and Programs (H.R. 2620, S. 1216), Defense Programs, Erroneous Payments Recovery Act (H.R. 2547), TRAC Act (H.R. 721, S. 1152)

17. House(s) of Congress and Federal agencies contacted:

Air Force, Dept of
Army, Dept of (Other)
Commerce, Dept of (DOC)
Defense, Dept of (DDO)
Executive Office of the President
HOUSE OF REPRESENTATIVES
Nat'l Aeronautics & Space Administration (NASA)
Navy, Dept of
Office of Management & Budget (OMB)
SENATE
State, Dept of (DOS)
U.S. Coast Guard (USCG)

18. Name of each individual who acted as a lobbyist in this issue area:

Name: BULLARD, ED
Covered Official Position (if applicable): (EFFECTIVE 07/01/99)
Name: COEN, LISA (CHANGE TO COEN, M.
Covered Official Position (if applicable): N/A
Name: HELLIER, RICHARD G.
Covered Official Position (if applicable): N/A
Name: HUMPHRIES, JACK
Covered Official Position (if applicable): N/A
Name: KAGDIS, JAMES
Covered Official Position (if applicable): N/A
Name: KOPECKY, JOHN J.
Covered Official Position (if applicable): N/A
Name: LINHART, RICHARD
Covered Official Position (if applicable): N/A
Name: MCKEON, THOMAS C.
Covered Official Position (if applicable): N/A
Name: RISSEUW, HUGH
Covered Official Position (if applicable): N/A
Name: ROBERT, WADE H.
Covered Official Position (if applicable): N/A
Name: SUMMERS, MICHAEL H.
Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: ENG (one per page)

16. Specific lobbying issues:

Energy Tax Incentives (S. 207), NAECA Standard-DOE Rulemaking, Fuel Cells Initiatives (H.R. 1275, S. 828, H.R. 1830, S. 883)

17. House(s) of Congress and Federal agencies contacted:

Energy, Dept of
HOUSE OF REPRESENTATIVES
SENATE

18. Name of each individual who acted as a lobbyist in this issue area:

Name: BAYER, JUDITH

Covered Official Position (if applicable): N/A

Name: MANDYCK, JOHN

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: ENV (one per page)

16. Specific lobbying issues:

Appropriations/Ozone Protection

17. House(s) of Congress and Federal agencies contacted:

HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area:

Name: MANDYCK, JOHN

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: FOR (one per page)

16. Specific lobbying issues:

Aircraft/Engine Noise, FY 02 Foreign Operations Appropriations (H.R. 2506), Foreign Regulation of Jet Engines

17. House(s) of Congress and Federal agencies contacted:

Commerce, Dept of (DOC)

Defense, Dept of (DOD)

Executive Office of the President

Export-Import Bank of the United States (EXIM Bank)

Federal Aviation Administration (FAA)

HOUSE OF REPRESENTATIVES

SENATE

State, Dept of (DOS)

Transportation, Dept of (DOT)

U.S. Trade Representative (USTR)

18. Name of each individual who acted as a lobbyist in this issue area:

Name: COEN, LISA (CHANGE TO COEN, M.

Covered Official Position (if applicable): N/A

Name: COLLINS, EVA

Covered Official Position (if applicable): N/A

Name: GRANDJEAN, SHERRY

Covered Official Position (if applicable): PROFESSIONAL STAFF MEMBER FOR SENATE FOREIGN RELATIONS COMMITTEE

Name: POLLARD, ALBERT W. JR

Covered Official Position (if applicable): N/A

Name: ROBERT, WADE H.

Covered Official Position (if applicable): N/A

Name: WALSH, SUSAN M.

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: SCI (one per page)

16. Specific lobbying issues:

NASA FY 02 Authorization and Appropriations Bills (H.R. 2620, S. 1216)

17. House(s) of Congress and Federal agencies contacted:

Defense, Dept of (DOD)

Executive Office of the President

HOUSE OF REPRESENTATIVES

Natl Aeronautics & Space Administration (NASA)

Office of Management & Budget (OMB)

SENATE

18. Name of each individual who acted as a lobbyist in this issue area:

Name: HUMPHRIES, JACK

Covered Official Position (if applicable): N/A

Name: KOPECKY, JOHN J.

Covered Official Position (if applicable): N/A

Name: SUMMERS, MICHAEL H.

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: TAX (one per page)

16. Specific lobbying issues:

R&D Tax Credit (H.R. 41, S. 41), Extra-Territorial Income/FSC, Fuel Cell Tax Credit (H.R. 1275, S. 828)

17. House(s) of Congress and Federal agencies contacted:

Executive Office of the President
HOUSE OF REPRESENTATIVES
SENATE

18. Name of each individual who acted as a lobbyist in this issue area:

Name: BAYER, JUDITH

Covered Official Position (if applicable): N/A

Name: PAULSON, KRISTIN

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Registrant Name: UNITED TECHNOLOGIES CORP Client Name: Self

LOBBYING ACTIVITY.

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: TRA (one per page)

16. Specific lobbying issues:

Aircraft/Engine Noise, Regulations Affecting Jet Engines

17. House(s) of Congress and Federal agencies contacted:

Commerce, Dept of (DOC)

Executive Office of the President

Federal Aviation Administration (FAA)

HOUSE OF REPRESENTATIVES

SENATE

State, Dept of (DOS)

Transportation, Dept of (DOT)

U.S. Trade Representative (USTR)

18. Name of each individual who acted as a lobbyist in this issue area:

Name: WALSH, SUSAN M.

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

LOBBYING ACTIVITY

Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code: TRD (one per page)

16. Specific lobbying issues:

Trade Promotion Authority (H.R. 2149), China NTR (H.J. Res. 50), Vietnam Trade Agreement and Jackson-Vanik Waiver, EM-IM/OPIC (H.R. 2506, H.R. 1646), Export Licenses, Defense Export Loan Guarantee, Export Controls, EX-IM Helicopter Facility, WTO Case on ETI/FSC, Export Administration Act (S. 149), Economic Sanctions, India Sanctions, Aircraft/Engine Noise, Commercial Engine Sales, Aerospace Trade, Regional Jet Demonstration, Rolls Royce Subsidies, TPA/Aircraft Negotiating Objectives

17. House(s) of Congress and Federal agencies contacted:

Commerce, Dept of (DOC)

Defense, Dept of (DOD)

Executive Office of the President

Export-Import Bank of the United States (EXIM Bank)

Federal Aviation Administration (FAA)

HOUSE OF REPRESENTATIVES

SENATE

State, Dept of (DOS)

Transportation, Dept of (DOT)

Treasury, Dept of

U.S. Trade Representative (USTR)

18. Name of each individual who acted as a lobbyist in this issue area:

Name: CANEVARI, HOLLY

Covered Official Position (if applicable): STAFF MEMBER FOR REP. JOHN LARSON (D-CT)

Name: COLLINS, EVA

Covered Official Position (if applicable): N/A

Name: GRANDJEAN, SHERRY

Covered Official Position (if applicable): PROFESSIONAL STAFF MEMBER FOR SENATE FOREIGN RELATIONS COMMITTEE

Name: HUMPHRIES, JACK

Covered Official Position (if applicable): N/A

Name: JORDAN, PETER

Covered Official Position (if applicable): N/A

Name: KOPECKY, JOHN J.

Covered Official Position (if applicable): N/A

Name: PAULSON, KRISTIN

Covered Official Position (if applicable): N/A

Name: POLLARD, ALBERT W. JR

Covered Official Position (if applicable): N/A

Name: PREISS, JEREMY

Covered Official Position (if applicable): N/A

Name: ROBERT, WADE H.

Covered Official Position (if applicable): N/A

Name: WALSH, SUSAN M.

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above. **None**

Signature: ON FILE Date: Aug 14, 2001

Printed Name and Title: M. LISBETH COEN - MANAGER AND COUNSEL, FEDERAL GOVERNMENT RELATIONS

Information Update Page:

Complete ONLY where registration information has changed.

LOBBYIST UPDATE

23. Name of each previously reported individual who is NO LONGER expected to act as a lobbyist for the client

Name: BEAUCHAMP, RENE

Name: CHAMBERLAIN, KIM

ISSUE UPDATE

24. General lobbying issues previously reported that NO LONGER pertain

C&M

AFFILIATED ORGANIZATIONS

25. Add the following organization(s)

26. Name of each previously reported organization that is NO LONGER affiliated with the registrant or client

FOREIGN ENTITIES

27. Add the following foreign entities

28. Name of each previously reported foreign entity the NO LONGER owns, OR controls, OR is affiliated with the registrant, client or affiliated organization

Signature: ON FILE Date: Aug 10, 2001

Printed Name and Title: -