

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 STREET, 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 HUMPHRIES

Telephone: 2023367474

E-mail (optional): jack.humphries@utc.com

Senate ID #: 39267-12

House ID #: 3076400

7. Client Name: ☒ Self

TYPE OF REPORT

8. Year 2006 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): 2,220,000.00

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:

International Trade and Export Licensing: Funding for NASA Programs HR 5672

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

Commerce, Dept of (DOC)

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: BECKER, DARBY

Covered Official Position (if applicable): N/A

Name: BULLARD, ED

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: AVI (one per page)

16. Specific lobbying issues:

Aviation Manufacturing; FAA Authorization; Environmental Standards/Engines; GMS Business Plan

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

Federal Aviation Administration (FAA)

HOUSE OF REPRESENTATIVES

SENATE

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

Name: BECKER, DARBY

Covered Official Position (if applicable): N/A

Name: BULLARD, ED

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:

Defense Appropriations HR 5631; Homeland Security HR 5441

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

Defense, Dept of (DOD)

HOUSE OF REPRESENTATIVES

SENATE

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

Name: FAUSER, KRISTINE KEARNS

Covered Official Position (if applicable): N/A

Name: PEACE, CHRIS

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:

Climate Change S 1151, Unnumbered Bills; New Source Review

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

Environmental Protection Agency (EPA)

HOUSE OF REPRESENTATIVES

SENATE

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

Name: MARKS, JEFFREY

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: DEF (one per page)

16. Specific lobbying issues:

Black Hawks; Defense Authorization HR 5122, S 2766; FY 07 Authorization and Appropriations Bills; Buy America HR 5122, S 2766; JSF; CSAR; JSF Alternate Engine; CH-53K; USCG Aircraft; F-22 Multiyear; C17 Plus Up

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

Defense, Dept of (DOD)
HOUSE OF REPRESENTATIVES
Homeland Security, Dept of (DHS)
SENATE

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

Name: BULLARD, ED
Covered Official Position (if applicable): N/A
Name: FAUSER, KRISTINE KEARNS
Covered Official Position (if applicable): N/A
Name: GRANDJEAN, SHERRY
Covered Official Position (if applicable): N/A
Name: HADDOCK, JOSEPH
Covered Official Position (if applicable): N/A
Name: HUMPHRIES, JACK
Covered Official Position (if applicable): N/A
Name: KAUFMAN, ALISON
Covered Official Position (if applicable): N/A
Name: MANKE, DAVE
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.

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

16. Specific lobbying issues:

Fuel Cell Tax Extender HR 5890, HR 3711 HR 6111; Preemption of HVAC Regulation HR 5478; Green Buildings HR 5656 S 3591; Hybrids/Fuel Cells S 2747 Energy Tax Credit HR 5206, S 2677, S 2401, S 2829, S 2571, S 2748; Co2 Standards; DoE Test Procedures for HVAC; Furnace Efficiency Docket EE-RM/TP-02-002; Energy Policy S 2025, S 2747; HCFC Refrigerant Policy Montreal Protocol; Geothermal Energy HR 4761, S 3711;

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

Energy, Dept of
Environmental Protection Agency (EPA)
HOUSE OF REPRESENTATIVES
SENATE
White House Office

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: KAUFMAN, ALISON

Covered Official Position (if applicable): N/A

Name: MARKS, JEFFREY

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:

Arms Sales and Licenses; India Nuclear Agreement HR 5682, HR 4974, S 2429

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

HOUSE OF REPRESENTATIVES

SENATE

State, Dept of (DOS)

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

Name: GRANDJEAN, SHERRY

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: MAN (one per page)

16. Specific lobbying issues:

State of American Manufacturing and Related Issues

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

Commerce, Dept of (DOC)

HOUSE OF REPRESENTATIVES

SENATE

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

Name: BULLARD, ED

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: NAT (one per page)

16. Specific lobbying issues:

Geothermal Technology Offshore Energy Bill

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: MARKS, JEFFREY

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: RET (one per page)

16. Specific lobbying issues:

Pension Reform HR 2830, S 1783

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: BECKER, DARBY

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:

Chem/bio Technology Development; Funding for NASA Programs HR 5672

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

HOUSE OF REPRESENTATIVES

Homeland Security, Dept of (DHS)

Natl Aeronautics & Space Administration (NASA)

Office of Management & Budget (OMB)

SENATE

White House Office

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

Name: BECKER, DARBY

Covered Official Position (if applicable): N/A

Name: BULLARD, ED

Covered Official Position (if applicable): N/A

Name: FASZCZA, JEFFREY

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:

ETI Transition Provision; Final FY '07 Tax Package, Depreciation HR 1241

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

HOUSE OF REPRESENTATIVES

SENATE

U.S. Trade Representative (USTR)

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: MARKS, JEFFREY

Covered Official Position (if applicable): N/A

Name: PREISS, JEREMY

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:

Fuel Cell Transit Buses

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: BECKER, DARBY

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: TRD (one per page)

16. Specific lobbying issues:

Export Controls/Economic Sanctions; Russia WTO Accession; China Dual-Use Export Controls; USG Advocacy/Engine Sales; Export Control Reform HR 5847; Export Licensing; Export Import Bank Reauthorization H 5068, S 3938; Vietnam WTO Accession; Vietnam PNTR; International Trade Policy

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

Commerce, Dept of (DOC)
Defense, Dept of (DOD)
Federal Aviation Administration (FAA)
HOUSE OF REPRESENTATIVES
SENATE
State, Dept of (DOS)
Transportation, Dept of (DOT)
U.S. Trade Representative (USTR)
White House Office

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

Name: BULLARD, ED
Covered Official Position (if applicable): N/A
Name: GRANDJEAN, SHERRY
Covered Official Position (if applicable): N/A
Name: JORDAN, PETER
Covered Official Position (if applicable): N/A
Name: KAUFMAN, ALISON
Covered Official Position (if applicable): N/A
Name: MANKE, DAVE
Covered Official Position (if applicable): N/A
Name: PREISS, JEREMY
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: Feb 13, 2007

Printed Name and Title: JOHN M. HUMPHRIES, VICE PRESIDENT GOVERNMENT RELAT -

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

ISSUE UPDATE

24. General lobbying issues previously reported that NO LONGER pertain

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: Feb 13, 2007

Printed Name and Title: -