

## 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 # 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: JACK HUMPHRIES

Telephone: 202-336-7474

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

Senate ID #: 39267-12

House ID #: 3076400

7. Client Name:  Self

## TYPE OF REPORT

8. Year 2004 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): 1,640,000.00

### 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:

NASA Funding; Aviation and Space Authorization and Appropriation; Research and Development; Rocket Production

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

Defense, Dept of (DOD)

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): (EFFECTIVE 07/01/99)

Name: KOPECKY, JOHN J.

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:

Capetown Aircraft Financing Treaty; War Risk Insurance; Funding for Technologies; Environmental; Environmental Standards/Engines

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

Federal Aviation Administration (FAA)  
HOUSE OF REPRESENTATIVES  
Homeland Security, Dept of (DHS)  
Nat'l Aeronautics & Space Administration (NASA)  
Office of Management & Budget (OMB)  
SENATE  
Transportation, Dept of (DOT)

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: CANEVARI, HOLLY

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

Name: KOPECKY, JOHN J.

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 and Space Appropriations HR 1463, S. 2559; Funding and Development for Technologies; Budget Resolution HR 4613; Interior Appropriations HR 4568; Appropriations HR 4818

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

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

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: GRANDJEAN, SHERRY

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

Name: KEARNS FAUSER, KRISTINE

Covered Official Position (if applicable): STAFF MEMBER FOR SEN. SUSAN COLLINS (R-ME)

Name: PEACE, CHRIS

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

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:

Defense Authorization and Appropriation HR 4200, S 2400; Research and Development; Rocket Production; VXX/S-92; Air Force Budget/Program; Offsets

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

Air Force, Dept of  
Commerce, Dept of (DOC)  
Defense, Dept of (DOD)  
Executive Office of the President  
HOUSE OF REPRESENTATIVES  
Office of Management & Budget (OMB)  
Office of the Secretary of Defense  
SENATE  
Transportation, Dept of (DOT)

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: 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: HUMPHRIES, JACK

Covered Official Position (if applicable): N/A

Name: KEARNS FAUSER, KRISTINE

Covered Official Position (if applicable): STAFF MEMBER FOR SEN. SUSAN COLLINS (R-ME)

Name: KOPECKY, JOHN J.

Covered Official Position (if applicable): N/A

Name: SMITH, KEITH

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:

National Energy Legislation HR 6, S 14, HR 4520, S 16

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: BAYER, JUDITH

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: FDR (one per page)

16. Specific lobbying issues:

Cape Town Aircraft Financing Treaty HR 4226, Treaty Doc 108-10; Arms Sales and Licenses; Visas

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): PROFESSIONAL STAFF MEMBER FOR SENATE FOREIGN RELATIONS COMMITTEE

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: GOV (one per page)

16. Specific lobbying issues:

Funding and Development for Technologies

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

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

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)

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: IMM (one per page)

16. Specific lobbying issues:

Visa Policy

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

Homeland Security, Dept of (DHS)

Natl Security Council (NSC)

State, Dept of (DOS)

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

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: MAN (one per page)

16. Specific lobbying issues:

Pro-U.S. Manufacturing Agenda

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: BULLARD, ED

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

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:

Cash Balance Pension Plans

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:

NASA Appropriations and Authorization; Science Policy

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

Defense, Dept of (DOD)

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: BULLARD, ED

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

Name: HUMPHRIES, JACK

Covered Official Position (if applicable): N/A

Name: KOPECKY, JOHN J.

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 Repeal/Corporate Tax Bill HR 4520, S 1637; ETI/FSC HR 4520, S 1637; R&D Tax Credit HR 463, S 664; Fuel Cell Tax Credit HR 767, S 596

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

HOUSE OF REPRESENTATIVES

SENATE

Treasury, Dept of

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: PREISS, JEREMY

Covered Official Position (if applicable): N/A

Name: SMITH, KEITH

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: TOR (one per page)

16. Specific lobbying issues:

Asbestos

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: TRA (one per page)

16. Specific lobbying issues:

Fuel Cell Bus Demonstration Program HR 3550; Transit Authority Procurement of Air Conditioners

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

HOUSE OF REPRESENTATIVES

SENATE

Transportation, Dept of (DOT)

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: 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:

All Foreign Trade Issues; Russian Aerospace Trade; Export Controls; Vietnam Market Access; Steel Short Supply; US-Australian FTA HR 4759, S 2610; Foreign Trade Controls; Trade Policy; Offsets in Defense Trade; Exim Bank Dual Use Waiver HR 4818; Export Control Reform HR 1950, HR 4200, S 925, S 2400; Export Financing; Sactions Legislation HR 1828; Offshore Outsourcing S 2090, S 2094, HR 3820; UK State Aid for Rolls-Royce; Russian WTO Membership/Aircraft and Engine Tariffs; USG Advocacy for Engines Sales; USG Advocacy for PwPS Equipment Sales

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

Commerce, Dept of (DOC)  
Defense, Dept of (DD)  
Export-Import Bank of the United States (EXIM Bank)  
HOUSE OF REPRESENTATIVES  
Nat'l Security Council (NSC)  
SENATE  
State, Dept of (DOS)  
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: GRANDJEAN, SHERRY

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

Name: JORDAN, PETER

Covered Official Position (if applicable): N/A

Name: PREISS, JEREMY

Covered Official Position (if applicable): N/A

Name: SMITH, KEITH

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 13, 2004

Printed Name and Title: JOHN HUMPHRIES - VICE PRESIDENT 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**

**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: Aug 16, 2004

Printed Name and Title: JOHN HUMPHRIES - Vice President Government Relations