

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 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): 2,174,465.00

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 HR 5672; Authorization and Appropriations

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

Commerce, Dept of (DOC)

Defense, Dept of (DOD)

Federal Aviation Administration (FAA)

HOUSE OF REPRESENTATIVES

Natl Aeronautics & Space Administration (NASA)

SENATE

State, Dept of (DOS)

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): (EFFECTIVE 07/01/99)

Name: KAUFMAN, ALISON

Covered Official Position (if applicable): CHIEF OF STAFF, US DEPARTMENT OF COMMERCE

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:

FAA Reauthorization/FAA Reauthorization Bill; Instructions for Continued Air Worthiness; Environmental Standards/Engines

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: BULLARD, ED

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

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:

Authorization and Appropriations; Defense Appropriations HR 5631; Homeland Security Appropriations HR 5441; Appropriations 5522

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

Defense, Dept of (DOD)

HOUSE OF REPRESENTATIVES

Natl Aeronautics & Space Administration (NASA)

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: GRANDJEAN, SHERRY

Covered Official Position (if applicable): N/A

Name: KEARNS FAUSER, KRISTINE

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:

Multipollutant Legislation S 131; New Source Performance Standards EPA - Docket OAR-2004-490; Climate Change S 1151

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

Environmental Protection Agency (EPA)

Office of Management & Budget (OMB)

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:

Authorization and Appropriations; Defense Authorization HR 5122, S 2766; Buy America HR 5122, S 2766; Air Force Programs; Joint Strike Fighter Engine Funding

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

Defense, Dept of (DOD)
Executive Office of the President
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)

Name: GRANDJEAN, SHERRY

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: KAUFMAN, ALISON

Covered Official Position (if applicable): CHIEF OF STAFF, US DEPARTMENT OF COMMERCE

Name: KEARNS FAUSER, KRISTINE

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**

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 Credit HR 5206, S 2677, S 2401, S 2829, S 2571, S 2748; Energy Policy S 2025, S 2747; Geothermal Energy HR 4761 S 3711; Weapons of Mass Destruction Threat Reduction; CO2 Standards; Offshore Energy/Geothermal S 3711 HR 4761; Fuel Cell Appropriations/ Budget; Energy Efficiency HVAC; Efficiency Info Consumer Products HR 5478; Hybrids/Fuel Cells HR 5656, S 2747; Energy Policy Act Implementation; Advanced Research Projects Agency S 2197

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: FASZCZA, JEFFREY

Covered Official Position (if applicable): N/A

Name: KAUFMAN, ALISON

Covered Official Position (if applicable): CHIEF OF STAFF, US DEPARTMENT OF COMMERCE

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

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: LBR (one per page)

16. Specific lobbying issues:

Proposed Rule on Hexavalent Chromium - OSHA Docket H054A; OSHA Reform S 2065, S 2066, S 2067

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

HOUSE OF REPRESENTATIVES

Occupational Safety & Health Administration (OSHA)

Office of Management & Budget (OMB)

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: MAN (one per page)

16. Specific lobbying issues:

Berry Amendment DoD Authorization

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; Credit Balance S 1783, HR 2830

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:

Aeronautics - NASA Appropriations Bill; Chem/Bio Technology Development; OMB Risk Assessment Guidelines

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

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

Name: BULLARD, ED

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

Name: FASZCZA, JEFFREY

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: TAX (one per page)

16. Specific lobbying issues:

Reconciliation Tax Package, Preserving ETI Transition Benefit, R&D Tax Credit S 627 S 2020 HR 1736 HR 4297; Fuel Cell Tax Credit HR 6; State Tax Incentives S 1066 HR 2471

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

HOUSE OF REPRESENTATIVES

SENATE

Treasury, Dept of

U.S. Trade Representative (USTR)

White House Office

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: TRA (one per page)

16. Specific lobbying issues:

Fuel Cell 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:

Free Trade Agreements; Export Control Reform HR 5847; Export Import Bank Reauthorization HR 5068; Export Controls Sanctions; Russia WTO; China; Vietnam PNTR Legislation S 3494 HR 5602; Vietnam WTO Accession; New China Export Control Policy; Export Control Policy Affecting Very Light Jets; USG Advocacy/Engine Sales/Helicopters; Export Import Financing/Aftermarket Sales; USG Advocacy/Pratt & Whitney Power Systems; EU State Aid for Rolls Royce; Russia WTO Accession

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

Commerce, Dept of (DOC)

Defense, Dept of (DOD)

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

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: BULLARD, ED

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

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): CHIEF OF STAFF, US DEPARTMENT OF COMMERCE

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: Aug 11, 2006

Printed Name and Title: JOHN M. 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

Name: SMITH, KEITH

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 11, 2006

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