

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: 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 2003 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): 1,511,253.00

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:

General Issues Impacting Economic Health of Aerospace Industry; Aerospace Issues S 824, HR 2115

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

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: 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: 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: 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.

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 HR 2115 and HR 2144; Cape Town Aircraft Financing Treaty; Aviation Issues S 284; S-92; Funding and Development for Technologies for Homeland Security Appropriations and Authorization; Sale of Large Commercial Engines and USG Advocacy for the Same; Tracking Foreign Regulations of Jet Engines; FAA Regulations Affecting Jet Engines

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

HOUSE OF REPRESENTATIVES

Homeland Security, Dept of (DHS)

SENATE

State, Dept of (DOS)

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: 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: KEARNS FAUSER, KRISTINE

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

Name: MANKE, DAVE

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**

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; Budget Resolution/Defense S Con Res 23 and H Con Res 95; Funding and Development for Technologies for Homeland Security Appropriations and Authorization

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: KEARNS FAUSER, KRISTINE

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

Name: KEARNS FAUSER, KRISTINE

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

Name: MANKE, DAVE

Covered Official Position (if applicable): N/A

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:

FY '04 Defense Authorization and Appropriation S 1050, HR 1588, S 762, S 927, HR 1559; VH-92

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: 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: 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: MANKE, DAVE

Covered Official Position (if applicable): N/A

Name: RISSEUW, HUGH

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: ECN (one per page)

16. Specific lobbying issues:

Department of Commerce Award Nomination

17. House(s) of Congress and Federal agencies contacted:
Commerce, Dept of (DOC)

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: ENG (one per page)

16. Specific lobbying issues:

Product Standards and Energy Star Reform/National Energy Bill; DOE Test Procedures/EE-RM/TP-02-002; Fuel Cell Commercialization
HR 4, S 461, S 14, HR 238

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: KOPECKY, JOHN J.

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:

U.N. HFC Report; U.N. Montreal Protocol/TEAP Report

17. House(s) of Congress and Federal agencies contacted:
Environmental Protection Agency (EPA)
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:

Export-Import Bank Loan Guarantee Facility for Turkey; Cape Town Aircraft Financing Treaty; Sanctions Legislation HR 1828, HR 2330, S 1215; Arms Sales and Licenses; State Department Authorization; Foreign Assistance Authorization HR 1950, S 925, S 1161; Sale of Large Commercial Engines and USG Advocacy for Same; Tracking of Foreign Regulations of Jet Engines

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

Defense, Dept of (DOD)

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

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

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: GOV (one per page)

16. Specific lobbying issues:

Funding and Development for Technologies for Homeland Security Appropriations and Authorization

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: LBR (one per page)

16. Specific lobbying issues:

Pension Reform

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: MAN (one per page)

16. Specific lobbying issues:

Acquisition/Procurement S 1050, HR 1837

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: KEARNS FAUSER, KRISTINE

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

Name: KEARNS FAUSER, KRISTINE

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

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.

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: POS (one per page)

16. Specific lobbying issues:

Funding and Development for Technologies for Homeland Security Appropriations and Authorization

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: RET (one per page)

16. Specific lobbying issues:

Pension Reform

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:

FY '04 NASA Authorization and Appropriations; Defense Programs S 1050, HR 1588

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: 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

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: TAX (one per page)

16. Specific lobbying issues:

FSC HR 1769; R&D Tax Credit HR 463 S 664; Financial Incentives for Distributed Generation Equipment S 1149, S 597, HR 6, S 758; Trade/Tax Policy, ETI Repeal, Follow-on Legislation; President's Growth Package; Separate Tax Bills

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

Commerce, Dept of (DOC)
HOUSE OF REPRESENTATIVES
SENATE
Treasury, Dept of

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: 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:

Class Action Reform S 274

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

SENATE

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: TRA (one per page)

16. Specific lobbying issues:

Fuel Cell Bus Program

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:

Singapore FTA HR 2739, S 1417; Chile FTA HR 2738, S 1416; Export Controls and Economic Sanctions; Trade Policy WTO Negotiations; Various Market Access Matters; Trade Policy Foreign Investment Restrictions in Russia; Trade Policy Rolls Royce Subsidy Matters; Trade Policy ETI Repeal, Follow-on Legislation; Export Import Bank Dual Use Waiver; Export Import Bank Loan Guarantee Facility for Turkey; Export Administration Act; Export Control Reform HR 1950, S 925, S 1161; Export Financing; Sanctions Legislation HR 1828, HR 2330, S 1215; Arms Sales and Licenses, Sale of Large Commercial Engines and USG Advocacy for the Same; Tracking of Foreign Regulations of Jet Engines

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)

Treasury, Dept of

U.S. Trade Representative (USTR)

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

Name: KOPECKY, JOHN J.

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, 2003

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

Name: NICHOLS, JOHN

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 13, 2003

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