

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 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): 1,980,000.00

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 Aeronautics Funding S 309, HR 586; NASA Appropriations HR 2861, S 1584; NASA Space & Aerospace Budget HR 2861, S 1584

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

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

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; FAA Reauthorization HR 2115; Funding and Development for Technologies; Aviation Security HR 2115, HR 2144, S 824; Environmental Issues; Terrorism Insurance for Manufacturers

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

Federal Aviation Administration (FAA)

HOUSE OF REPRESENTATIVES

Homeland Security, Dept of (DHS)

Natl Aeronautics & Space Administration (NASA)

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: 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: 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:

Funding and Development for Technologies; Budget Resolution/Defense S Con Res 23, H Con Res 95; Appropriations HR 2673, HR 3289, S 1689, HR 2799, S 1585, HR 2658, S 1382, HR 2754, S 1424, HR 2800, S 1426, HR 2555, HR 2989, S 1589, HR 2861, S 1584

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: 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**

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:

DoD Appropriations HR 2658, S 1382; DoD Authorization S 1050, HR 1588, S 762; Defense Production Act S 1680, S 1738, HR 855; DoD RDT&E Budget; VXX/S-92

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

Air Force, Dept of
Commerce, Dept of (DOC)
Defense, Dept of (DOD)
HOUSE OF REPRESENTATIVES
Office of Management & Budget (OMB)
SENATE
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: BULLARD, ED

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

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: 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; Turbine R&D

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

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:

Cape Town Aircraft Financing Treaty; Arms Sales and Licenses; State Department Authorization, Foreign Assistance Authorization HR 1950, S 925, S 1161

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.

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

16. Specific lobbying issues:

Acquisition/Procurement/Industrial Base S 1050, HR 1588, HR 183

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)

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 HR 2989, S 1589

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:

Defense/DoE Programs S 1050, HR 1588; NASA Authorization Bills

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)

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:

FSC, ETI Bills & Replacement Legislation HR 1769, HR 2896, S 1637; R&D Tax Credit HR 463, S 664; Homeland Investment Act HR 767, S 596; Fuel Cell Tax Credit HR 6, S 597

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

Commerce, Dept of (DOC)

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: TRD (one per page)

16. Specific lobbying issues:

Export-Import Bank Dual Use Waiver; Export Control Reform HR 1950, S 925, S 1161; Export Financing; Sanctions Legislation HR 1828, HR 2330, S 1215; Trade Policy; WTO Disputes; Aerospace Subsidies; Distribution Rights in Vietnam; Government Advocacy in International Competitions; Chile/Singapore FTAs HR 2738, HR 2739, S 1416, S 1417, UK Aid for Rolls-Royce; Russian WTO Membership/Aircraft & Engines; USG Advocacy Support for Engine Marketing Campaigns

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)

White House Office

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: 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: Feb 12, 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: Feb 13, 2004

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