

DAVID GEORGE AL  
Form 4  
November 03, 2004

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

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**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
DAVID GEORGE AL

2. Issuer Name and Ticker or Trading Symbol  
UNITED TECHNOLOGIES CORP  
/DE/ [UTX]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/01/2004

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Chairman and CEO

UNITED TECHNOLOGIES CORPORATION, ONE FINANCIAL PLAZA

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

HARTFORD, CT 06101

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	11/01/2004		M		200,000	A	\$ 19.5625
Common Stock	11/01/2004		F		41,272	D	\$ 94.8
Common Stock	11/01/2004		F		49,920	D	\$ 94.8
Common Stock	11/02/2004		S		7,000	D	\$ 94
	11/02/2004		S		2,600	D	\$ 94.01

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Common Stock							
Common Stock	11/02/2004	S	400	D	\$ 94.04	860,293	D
Common Stock	11/02/2004	S	200	D	\$ 94.05	860,093	D
Common Stock	11/02/2004	S	900	D	\$ 94.06	859,193	D
Common Stock	11/02/2004	S	900	D	\$ 94.08	858,293	D
Common Stock	11/02/2004	S	1,400	D	\$ 94.09	856,893	D
Common Stock	11/02/2004	S	2,500	D	\$ 94.1	854,393	D
Common Stock	11/02/2004	S	700	D	\$ 94.11	853,693	D
Common Stock	11/02/2004	S	600	D	\$ 94.12	853,093	D
Common Stock	11/02/2004	S	300	D	\$ 94.13	852,793	D
Common Stock	11/02/2004	S	800	D	\$ 94.15	851,993	D
Common Stock	11/02/2004	S	1,100	D	\$ 94.35	850,893	D
Common Stock	11/02/2004	S	1,000	D	\$ 94.36	849,893	D
Common Stock	11/02/2004	S	2,300	D	\$ 94.37	847,593	D
Common Stock	11/02/2004	S	200	D	\$ 94.38	847,393	D
Common Stock	11/02/2004	S	2,200	D	\$ 94.39	845,193	D
Common Stock	11/02/2004	S	10,400	D	\$ 94.4	834,793	D
Common Stock	11/02/2004	S	16,100	D	\$ 94.41	818,693	D
Common Stock	11/02/2004	S	6,600	D	\$ 94.42	812,093	D
Common Stock	11/02/2004	S	900	D	\$ 94.45	811,193 <sup>(1)</sup>	D
						4,786.717	I

Common  
Stock

By  
Savings  
Plan  
Trustee

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Non-Qualified Stock Option (right to buy)	\$ 19.5625	11/01/2004		M	200,000	09/04/1996 06/27/2005	Common Stock	2

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
DAVID GEORGE AL UNITED TECHNOLOGIES CORPORATION ONE FINANCIAL PLAZA HARTFORD, CT 06101	X		Chairman and CEO	

## Signatures

By: /s/ Charles F. Hildebrand as Attorney-in-Fact 11/02/2004

\_\_Signature of Reporting Person Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) The reporting person also directly owns 48,532 shares of United Technologies Career Restricted Common Stock.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.