

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL	
OMB Number:	3235-0104
Estimated average burden hours per response:	0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person* <u>Mitchell Neil G. JR</u> (Last) (First) (Middle) 10 FARM SPRINGS ROAD (Street) FARMINGTON CT 06032 (City) (State) (Zip)	2. Date of Event Requiring Statement (Month/Day/Year) 11/01/2019	3. Issuer Name and Ticker or Trading Symbol <u>UNITED TECHNOLOGIES CORP /DE/ [UTX]</u>	
		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) <u>Acting Chief Financial Officer</u>	5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	4,211	D	
Common Stock	344	I	By Savings Plan Trustee

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Restricted Stock Units	(1)	(1)	Common Stock	9,612	(1)	D	
Restricted Stock Units RSU	01/02/2021	(2)	Common Stock	1,455	(2)	D	
Restricted Stock Units RSU	01/03/2020	(2)	Common Stock	1,490	(2)	D	
Restricted Stock Units RSU	02/05/2022	(2)	Common Stock	8,427	(2)	D	
SRP Stock Unit	(3)	(3)	Common Stock	764.217	(3)	D	
Stock Appreciation Right	01/04/2019	01/03/2026	Common Stock	13,200	95.57	D	
Stock Appreciation Right	09/02/2016	09/01/2024	Common Stock	5,300	109.04	D	
Stock Appreciation Right	09/02/2018	09/01/2024	Common Stock	5,300	109.04	D	
Stock Appreciation Right	01/03/2020	01/02/2027	Common Stock	10,500 ⁽⁴⁾	110.83	D	
Stock Appreciation Right	01/02/2018	01/01/2025	Common Stock	6,900	115.04	D	
Stock Appreciation Right	02/05/2022	02/04/2029	Common Stock	27,500 ⁽⁵⁾	120.77	D	
Stock Appreciation Right	01/02/2021	01/01/2028	Common Stock	11,500 ⁽⁶⁾	128.16	D	

Explanation of Responses:

- These Restricted Stock Units (RSU) were awarded in connection with the reporting person's membership in UTC's Executive Leadership Group (ELG). Following three years of ELG services, each RSU, including accumulated dividend equivalents, represents a right to receive one share of UTC Common Stock upon a Qualifying Separation from UTC (as defined in Exhibit 10.6 of UTC's 2018 Form 10-K).
- Each Restricted Stock Unit (RSU), including dividend equivalents that accrue during the vesting period, represents a contingent right to receive one share of UTC Common Stock.
- Each Savings Restoration Plan ("SRP") stock unit is the economic equivalent of one share of UTC common stock. The reported SRP stock units were acquired under UTC's Savings Restoration Plan, an excess benefit plan, and are to be settled upon the reporting person's retirement or other termination of service.
- In January 2017, the reporting person was also awarded 3,500 performance share units (PSUs) under the UTC Long-Term Incentive Plan. Each PSU has a value equal to one share of UTC Common Stock. These PSUs vest solely upon achievement of pre-established performance targets for UTC's return on invested capital, earnings per share growth and total shareholder return relative to the S&P 500 index over a three-year time period.
- In February 2019, the reporting person was also awarded 5,000 performance share units (PSUs) under the UTC Long-Term Incentive Plan. Each PSU has a value equal to one share of UTC Common Stock. These PSUs vest solely upon achievement of pre-established performance targets for UTC's return on invested capital, earnings per share growth and total shareholder return relative to the S&P 500 index over a three-year time period.
- In January 2018, the reporting person was also awarded 3,500 performance share units (PSUs) under the UTC Long-Term Incentive Plan. Each PSU has a value equal to one share of UTC Common Stock. These PSUs vest solely upon achievement of pre-established performance targets for UTC's return on invested capital, earnings per share growth and total shareholder return relative to the S&P 500 index over a three-year time period.

/s/ Ariel R. David as Attorney-in-Fact 11/06/2019

** Signature of Reporting Person Date

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

* If the form is filed by more than one reporting person, see Instruction 5 (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).**

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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