

HARKIN RUTH R  
 Form 4  
 February 04, 2003  
 SEC Form 4

|   |   |   |
|---|---|---|
| <p><b>FORM 4</b></p> <p>[ ] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).</p> | <p><b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b></p> <p>Washington, D.C. 20549</p> <p><b>STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP</b></p> <p>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(f) of the Investment Company Act of 1940</p> | <p>OMB APPROVAL</p> <hr/> <p>OMB Number: 3235-0287<br/>                 Expires: January 31, 2005<br/>                 Estimated average burden hours per response. . . . . 0.5</p> |
|---|---|---|

|   |  |   |  |
|---|--|---|--|
| <p>1. Name and Address of Reporting Person*</p> <p><b>Harkin, Ruth R.</b></p> <hr/> <p>(Last) (First) (Middle)</p> <p><b>United Technologies Corporation</b><br/> <b>One Financial Plaza</b></p> <hr/> <p>(Street)</p> <p><b>Hartford, CT 06101</b></p> <hr/> <p>(City) (State) (Zip)</p> | <p>2. Issuer Name and Ticker or Trading Symbol</p> <p><b>United Technologies Corporation UTX</b></p> | <p>4. Statement for (Month/Year)</p> <p><b>January 31, 2003</b></p> | <p>6. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p>_____ Director _____ 10%</p> <p>Owner</p> <p><input checked="" type="checkbox"/> Officer _____ Other</p> <p>Officer/Other Description <b>Senior Vice President, International Affairs and Government Relations</b></p> <hr/> <p>7. Individual or Joint/Group Filing (Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Individual Filing</p> <p><input type="checkbox"/> Joint/Group Filing</p> |
| <p>3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)</p>  |  |   |  |
| <p>5. If Amendment, Date of Original (Month/Year)</p>   |  |   |  |

| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |                                      |   |  |   |   |   |
|--|--------------------------------------|---|--|---|---|---|
| 1. Title of Security (Instr. 3)  | 2. Transaction Date (Month/Day/Year) | 3. Transaction Code and Voluntary Code (Instr. 8) | 4. Securities Acquired (A) or Disposed (D) Of (Instr. 3, 4, and 5) | 5. Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4) | 6. Ownership Form: Direct(D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|  |                                      | Code   V  | Amount   A/D<br>  Price  |   |   |   |
|  |                                      |   |  |   |   |   |

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 4(b)(v).

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**Form 4 (continued)**

| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |                           |                     |                |                         |  |                                   |                        |                                    |               |                                   |
|--|---------------------------|---------------------|----------------|-------------------------|--|-----------------------------------|------------------------|------------------------------------|---------------|-----------------------------------|
| 1. Title of Derivative Security  | 2. Conversion or Exercise | 3. Transaction Date | 4. Transaction | 5. Number of Derivative | 6. Date Exercisable(DE) and Expiration | 7. Title and Amount of Underlying | 8. Price of Derivative | 9. Number of Derivative Securities | 10. Ownership | 11. Nature of Indirect Beneficial |
|  |                           |                     |                |                         |  |                                   |                        |                                    |               |                                   |

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| (Instr. 3)         | Price of Derivative Security | (Month/Day/Year) | Code and Voluntary (V) Code (Instr.8) | Securities Acquired (A) or Disposed (D) Of (Instr. 3,4 and 5) | Date(ED) (Month/Day/Year) | Securities (Instr. 3 and 4) | Security (Instr.5) | Beneficially Owned at End of Month (Instr.4) | Form of Derivative Security: Direct (D) or Indirect (I) | Ownership (Instr.4) |
|--------------------|------------------------------|------------------|---------------------------------------|---|---------------------------|-----------------------------|--------------------|--|---|---------------------|
| Phantom Stock Unit | \$0.0000                     | 01/31/2003       | A I                                   | (A) 10.500 (1)  | (DE)   (ED)               | Common Stock - 10.500       |                    | 5,007.158                                    | D   |                     |

Explanation of Responses :

\*\* Intentional misstatements or omissions of facts **By: By: Charles F. Hildebrand, Attorney-in-Fact** constitute Federal Criminal Violations.

See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

\_\_\_\_\_  
\*\* Signature of Reporting Person

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

Date

**Power of Attorney**

See Instruction 6 for procedure.

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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.

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**Form 4 (continued)**

**FOOTNOTE Descriptions for United Technologies Corporation UTX**

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**Ruth R. Harkin  
United Technologies Corporation  
One Financial Plaza  
Hartford, CT 06101**

**Explanation of responses:**

(1) Deferred phantom stock units acquired at the election of the executive under the United Technologies Corporation Deferred Compensation Program, in a transaction exempt under Rule 16-3.