

OMBUDSMAN FORM

The Ombudsman Program is a confidential communication channel that allows employees and others to ask questions, express concerns, suggest changes, report problems or provide a compliment. This form is used to facilitate your communication with United Technologies (UTC) management.

Required Information:

The following information is needed in order to direct your submission to the appropriate responding manager.

Company Name: _____
 Work City: _____
 Work State: _____
 Work Country: _____
 Date: _____

Check this box if you are not an employee of UTC or one of its Business Units.

Warning: Do not include any technical data that may be regulated by any country's export controls regulations with your submission.

Your Issue:

(Attach additional pages if needed)

Check this box if your issue relates to questions or concerns about company accounting, internal accounting controls, or auditing matters. These issues are referred to UTC's Global Ethics & Compliance Office.

Optional Information:

If you would like a response to this submission, please provide the information requested below. To protect your identity, responses are not mailed to your work location. Information that might identify you is protected by the Ombudsman. (See information on reverse side.)

Name:	
Home Address:	
Home City:	
Home State:	
Home Country:	
Postal/Zip Code:	
Home Phone:	
Mobile Phone:	

Mail/Post to:
 Ombudsman Program Office
 United Technologies Corporation
 10 Farm Springs, 10FS-2
 Farmington, CT 06032-2526
 United States of America



BASIC INFORMATION ABOUT THE OMBUDSMAN PROGRAM

The Ombudsman Program provides employees and others an alternative means of communicating business-related issues to UTC management (except those subject to the provisions of a collective bargaining agreement or those restricted by applicable law). The Ombudsman Program is confidential (by protecting the identity of the person raising the issue), neutral (by being the advocate neither of management nor employees), and independent (by operating separately from management).

- Submit this form in your choice of language to the Ombudsman Program Office (address on reverse side of this form). The Ombudsman processing your issue may obtain translations from an outside service that is obligated to maintain confidentiality. Information that could identify you as the writer will be removed before it is forwarded to management for response.
- UTC management will review, investigate and respond to program inquiries. The Ombudsman will review management's response and return the response to you if you have provided your home address. Without a return address, a direct response to your request is not possible; nonetheless, the inquiry is sent to management for review and any appropriate action. Less complicated issues are processed within 14 days however, to process more complex issues, management may need additional time. In those cases, the Ombudsman will notify you of the new target date for completion.
- As an alternative to using this form, you may submit your request electronically at <https://ombudsman.confidential.utc.com>. Specific instructions for submitting are provided on the website. The website is hosted outside of UTC and all transmissions to and from the website are encrypted and secure. To fully assure confidentiality, company computers should not be used for Ombudsman communications.
- If your inquiry raises a potential ethical or legal concern or deals with a complex issue, a UTC Ombudsman will contact you to discuss the next steps and available options.
- Should you wish to contact an Ombudsman directly, call: **800.871.9065**

When calling from outside the U.S.A., you must add the country code "1" to the telephone number provided above. To make the call free of charge, you can use the AT&T Direct access code for your country which can be found at www.business.att.com/bt/access.jsp. After you enter the access code listen for a prompt (voice or tone) and then enter the number you want to call.

NOTE: The Ombudsman Program is a confidential communications channel – an intermediary between you and UTC management. Your contact with the Ombudsman Program does not represent formal notice to the company with respect to any legal issue that might affect you.

Privacy Notice

UTC respects the privacy of the personal information that you may provide in the course of submitting this form and in any additional communications you may have with the Ombudsman program. Unless local law requires that you identify yourself, all personal information you provide is entirely voluntary. If you must identify yourself, the only information that you will be required to provide is your name. Depending on the nature of your concern or inquiry, the Ombudsman program may also request additional personal information so that management can review and respond; you will have the choice to provide this additional information.

The personal information that you provide will only be used: (1) to resolve your inquiry; (2) with all identifying information removed and in an aggregate form, for statistical and reporting purposes; (3) in the case of the sale or transfer of some or all of the assets of UTC, to transition to a new owner; and (4) as may be required by law. You may request an opportunity to review employee personal information maintained in this system to correct, amend, or delete information that is demonstrated to be inaccurate or incomplete, so long as not prohibited by applicable law. Personal information may be used and shared among UTC divisions, subsidiaries, and affiliates, applicable government organizations and agencies, and service providers as permitted or required by law, regulation, or court order. UTC obtains contractual assurances from its service providers that they will safeguard employee personal information consistently with this Notice.

For employees, all communications with the Ombudsman program, including this form, are subject to the Employee Privacy Notice available on [UTC's Privacy page](#). Any questions or concerns regarding this Notice and its application should be directed to the UTC Vice President, Global Ethics & Compliance at eco@corphq.utc.com.