

DIALOG FORM

DIALOG 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 UTC management.

Required Information:

The following information is needed in order to direct your DIALOG 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. These issues are referred to a UTC Ombudsman.

DIALOG 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 Business Practices office.

Optional Information:

If you would like a response to this DIALOG, 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 Ombudsmen and DIALOG personnel. (See information on reverse side.)

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

Mail to:
 DIALOG Clearinghouse
 United Technologies Corporation
 One Financial Plaza – MS 524
 Hartford, CT 06103-2607 – U.S.A.

BASIC INFORMATION ABOUT THE OMBUDSMAN/DIALOG PROGRAM

The Ombudsman/DIALOG 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). Ombudsman/DIALOG 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).

- Forward this form to the DIALOG Clearinghouse (address on reverse side of this form). If you choose to submit your question in your native language, the DIALOG Program Coordinator (DPC) processing your issue will obtain translations from an outside service which is obligated to maintain confidentiality. Information that could identify you as the writer will be removed before it is forwarded to management for response.
- Management reviews, investigates and responds to DIALOGs. The DPC will review management's response and return the response to you within a target of 14 days from the date received, if you have provided your home address. Without a return address, a direct response to your DIALOG is not possible; nonetheless, the DIALOG is sent to management for review and any appropriate action.
- As an alternative to using this form, you may submit your DIALOG electronically at <https://edialog.confidential.utc.com>. Specific instructions for submitting an eDIALOG are provided at 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 eDIALOG communications.
- If your DIALOG raises a potential ethical or legal concern or deals with a complex issue, it will be referred to a UTC Ombudsman who 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/DIALOG program is a confidential communications channel – an intermediary between you and UTC management. Your contact with the Ombudsman/DIALOG program does not represent formal notice to the company with respect to any legal issue that might affect you.