

# General Privacy Notice

This Privacy Notice addresses how United Technologies Corporation and its subsidiaries and affiliates (collectively, "UTC") may collect and process personal information from individuals *separate and apart from its websites*. For the privacy notice applicable to any UTC website, please check that site for a website privacy notice. For job applicants, please check our Careers site, and employees should refer to the UTC Employee Privacy Notice.

UTC interacts with individuals in a variety of ways: end users of our products, employees of our business customers and suppliers, and others in our communities. To enable these interactions, UTC may need collect and process information. UTC has implemented technical, administrative, and physical measures to safeguard any personal information that we may collect. As this Notice is intended to cover a variety of situations, there may be information contained in the Notice that does not apply to you. For example, if you do not have a warranty with a UTC company, UTC would not be collecting warranty information. Also, UTC complies with local legal requirements and would refrain from the collection or use of personal information in a location where it is prohibited by law.

## What personal information might UTC collect?

### *For outsourced labor*

- Name, including given, family, middle, and any suffix (such as Junior or Senior)
- Identification information, such as an identification number (in whole or in part), government-issued driver's license, passport, or other document – collected if and to the extent allowed under applicable law
- Emergency contact information
- Work contact information, including telephone numbers, facsimile number, email address, pager number, mailing address, and work location
- Home address and telephone numbers, including mobile phone number
- Work experience, education and job history, skill categories, licenses, certifications, memberships to and participation in trade associations or professional organizations, or authorization to perform a certain job
- Information about an individual's job, including job title, department, job function and cost center
- Information about an individual's employer, including company name, company location, and country of incorporation
- Name of supervisor and assistant
- Training, development, and performance review information
- UTC network communications logs covering the use of company phones, computers, electronic communications (such as email), and other information and communication technology
- Computer and facilities access and authentication information

- Visitor information, including the time, date, and location of visits, information regarding a vehicle for parking purposes, and information necessary to maintain visitor logs and screening
- Environmental, health, and safety information
- Agreements, programs, and activities in which the individual participates
- Payment-related information, including identification and bank account numbers
- Language and communication preference(s)
- Information collected through a voluntary survey or promotion or through use of a product, such as security system

***For personnel of suppliers, vendors, and business customers***

- Name, including given, family, middle, and any suffix (such as Junior or Senior)
- Identification information, such as an identification number (in whole or in part), government-issued driver's license, passport, or other document – collected if and to the extent allowed under applicable law
- Emergency contact information
- Work contact information, including telephone numbers, facsimile number, email address, pager number, mailing address, and work location
- Work experience, education and job history, skill categories, licenses, certifications, memberships to and participation in trade associations or professional organizations, or authorization to perform a certain job
- Qualifications to serve as a vendor, such as conflicts of interest information
- Information about an individual's job, including job title, department, and job function
- Information about an individual's employer, including company name, company location, and country of incorporation
- Name of supervisor and assistant
- Training information
- Visitor information, including the time, date, and location of visits, information regarding a vehicle for parking purposes, and information necessary to maintain visitor logs and screening
- Environmental, health, and safety information
- Agreements, programs, and activities in which the individual participates
- Payment-related information, including identification and bank account numbers
- Language and communication preference(s)
- Information collected through a voluntary survey or promotion or through use of a product, such as security system
- Listing of nominal gifts that may have been provided or received

***For visitors to UTC systems and facilities and persons authorized to use UTC systems***

- Name, including given, family, middle, and any suffix (such as Junior or Senior)
- Identification information, such as an identification number (in whole or in part), government-issued driver's license, passport, or other document— collected if and to the extent allowed under applicable law
- Emergency contact information
- Work contact information, including telephone numbers, facsimile number, email address, pager number, mailing address, and work location
- Information about an individual's job, including job title, department, and job function
- Information about an individual's employer, including company name, company location, and country of incorporation
- Name of supervisor and assistant
- UTC network communications logs covering the use of company phones, computers, electronic communications (such as email), and other information and communication technology
- Computer and facilities access and authentication information
- Visitor information, including the time, date, and location of visits, information regarding a vehicle for parking purposes, and information necessary to maintain visitor logs and screening
- Environmental, health, and safety information

***For consumers (customers and end users) of certain UTC products***

- Name, including given, family, middle, and any suffix (such as Junior or Senior)
- Home address and telephone numbers, including mobile phone number
- Payment-related information, including identification and bank account numbers
- Language and communication preference(s)
- Information collected through a voluntary survey or promotion or through use of a product, such as security system
- Warranty-related information, such as the type of product purchased, and information related to the servicing of a product

## **How might UTC use the personal information it collects?**

***For outsourced labor***

- Conducting charity campaigns
- Staffing planning, including as that may impact budget and financial planning and reporting
- Responding to situations involving a risk of health or safety, including an emergency
- Managing communications and notices
- Planning and providing health services, including drug screening and health and safety programs

- Reporting and statistical analyses, including global enterprise headcount, demographics and reporting required by applicable law
- Managing physical and information security, including
  - Access controls and security for computer and other systems
  - Internet, intranet, e-mail, social media, and other electronic system access
  - Virus, intrusion, and insider threat scanning and analysis
  - Facility access and safety
  - Disaster preparedness
- Backing up and recovering data
- Overseeing location tracking, duration, and other telematics of certain UTC assets for management of services provided, security, safety and management of efficiency
- Managing import, export and other trade compliance controls, including authorizing applications and management, determining access to controlled technology and/or commodities, and screening sanctions and embargoes
- Responding to questions or concerns submitted to the UTC Ombudsman program
- Performing audits and compliance reviews to ensure compliance with applicable policy, regulation, and law
- Conducting internal and external investigations, including Legal, Global Ethics & Compliance, and International Trade Compliance reviews and any resulting disclosures to government agencies
- Evaluating and reporting conflicts of interest
- Addressing environmental, health, and safety issues, including injury and damage claims
- Prosecuting and defending claims in litigation, arbitration, administrative, or regulatory proceedings, including but not limited to pre-dispute activity, evidence collection, discovery, litigation holds and e-discovery efforts
- Responding to law enforcement and other government inquiries
- Protecting intellectual property rights, including but not limited to patent filings
- Business planning, including planning for or executing mergers, acquisitions and divestitures
- Facilitating investor management activities
- As required or expressly authorized by applicable law or regulation

***For personnel of suppliers, vendors, and business customers***

- Maintaining Enterprise Resource Planning (“ERP”) systems, workflow systems, and other information technology (“IT”) systems, including workflows to document UTC participation in professional organizations and provision or receipt of business gifts and hospitality
- Vendor due diligence
- Managing physical and information security, including
  - Access controls and security for computer and other systems
  - Internet, intranet, e-mail, social media, and other electronic system access
  - Virus, intrusion, and insider threat scanning and analysis
  - Facility access and safety

- Disaster preparedness
- Responding to situations involving a risk of health or safety, including an emergency
- Backing up and recovering data
- Overseeing location tracking, duration, and other telematics of certain UTC assets for management of services provided, security, safety and management of efficiency
- Managing import, export and other trade compliance controls, including authorizing applications and management, determining access to controlled technology and/or commodities, and screening sanctions and embargoes
- Administering of marketing, contracts, joint ventures, and other business efforts, including without limitation invoice and payment processing, project management, and customer surveys and promotions
- Designing, selling, producing and improving products
- Providing customer service and support
- Training and certification of customer, supplier, and vendor personnel
- Conducting supplier and vendor reviews and due diligence, including in risk assessments
- Developing and managing budget and financial planning and reporting
- Responding to questions or concerns submitted to the UTC Ombudsman program
- Performing audits and compliance reviews to ensure compliance with applicable policy, regulation, and law
- Conducting internal and external investigations, including Legal, Global Ethics & Compliance, and International Trade Compliance reviews and any resulting disclosures to government agencies
- Evaluating and reporting conflicts of interest
- Addressing environmental, health, and safety issues, including injury and damage claims
- Prosecuting and defending claims in litigation, arbitration, administrative, or regulatory proceedings, including but not limited to pre-dispute activity, evidence collection, discovery, litigation holds and e-discovery efforts
- Responding to law enforcement and other government inquiries
- Protecting intellectual property rights, including but not limited to patent filings
- Business planning, including planning for or executing mergers, acquisitions and divestitures
- As required or expressly authorized by applicable law or regulation

***For visitors to UTC systems and facilities and persons authorized to use UTC systems***

- Responding to situations involving a risk of health or safety, including an emergency
- Managing communications and notices
- Maintaining Enterprise Resource Planning (“ERP”) systems, workflow systems, and other information technology (“IT”) systems
- Managing physical and information security, including
  - Access controls and security for computer and other systems
  - Internet, intranet, e-mail, social media, and other electronic system access
  - Virus, intrusion, and insider threat scanning and analysis

- Facility access and safety
- Disaster preparedness
- Backing up and recovering data
- Overseeing location tracking, duration, and other telematics of certain UTC assets for management of services provided, security, safety and management of efficiency
- Managing import, export and other trade compliance controls, including authorizing applications and management, determining access to controlled technology and/or commodities, and screening sanctions and embargoes
- Administering of marketing, contracts, joint ventures, and other business efforts, including without limitation invoice and payment processing, project management, and customer surveys and promotions
- Training and certification of customer, supplier, and vendor personnel
- Conducting supplier and vendor reviews and due diligence, including in risk assessments
- Developing and managing budget and financial planning and reporting
- Responding to questions or concerns submitted to the UTC Ombudsman program
- Performing audits and compliance reviews to ensure compliance with applicable policy, regulation, and law
- Conducting internal and external investigations, including Legal, Global Ethics & Compliance, and International Trade Compliance reviews and any resulting disclosures to government agencies
- Evaluating and reporting conflicts of interest
- Addressing environmental, health, and safety issues, including injury and damage claims
- Prosecuting and defending claims in litigation, arbitration, administrative, or regulatory proceedings, including but not limited to pre-dispute activity, evidence collection, discovery, litigation holds and e-discovery efforts
- Responding to law enforcement and other government inquiries
- Business planning, including planning for or executing mergers, acquisitions and divestitures
- As required or expressly authorized by applicable law or regulation

***For consumers (customers and end users) of certain UTC products***

- Responding to situations involving a risk of health or safety, including an emergency
- Managing communications and notices
- Backing up and recovering data
- Managing import, export and other trade compliance controls, including authorizing applications and management, determining access to controlled technology and/or commodities, and screening sanctions and embargoes
- Administering of marketing, contracts, joint ventures, and other business efforts, including without limitation invoice and payment processing, project management, and customer surveys and promotions
- Designing, selling, producing and improving products
- Providing customer service and support

- Responding to questions or concerns submitted to the UTC Ombudsman program
- Conducting internal and external investigations, including Legal, Global Ethics & Compliance, and International Trade Compliance reviews and any resulting disclosures to government agencies
- Evaluating and reporting conflicts of interest
- Addressing environmental, health, and safety issues, including injury and damage claims
- Prosecuting and defending claims in litigation, arbitration, administrative, or regulatory proceedings, including but not limited to pre-dispute activity, evidence collection, discovery, litigation holds and e-discovery efforts
- Responding to law enforcement and other government inquiries
- Business planning, including planning for or executing mergers, acquisitions and divestitures
- As required or expressly authorized by applicable law or regulation

## **What choices do you have about how UTC uses your personal information?**

Depending on the nature of the information and the reason that you have provided it to UTC, UTC may be unable to provide you with the request service, product, or information without collecting and processing your personal information.

You will always have a choice about whether UTC uses your personal information for marketing purposes. If you have provided us with your information and now would like to request that your information is no longer used for marketing purposes, please contact the businesses from which you are receiving the marketing communications. The communications themselves and the businesses website will provide you with the contact details.

## **With whom might UTC share the information it collects?**

Because UTC is a global company with locations in many different countries, we may transfer your information from one legal entity to another or from one country to another in order to accomplish the purposes listed above. We will transfer your personal information consistent with applicable legal requirements and only to the extent necessary. UTC relies on available legal mechanisms to enable the legal transfer of personal information across borders. To the extent that UTC relies on the standard contractual clauses (also called the model clauses) or Binding Corporate Rules to authorize transfer, UTC will comply with those requirements, including where there may be a conflict between those requirements and this Notice.

UTC will not sell or otherwise share your personal information outside the UTC group of companies, except to:

- service providers UTC has retained to perform services on our behalf. UTC will only share your personal information with service providers whom UTC has contractually restricted

from using or disclosing the information except as necessary to perform services on our behalf or to comply with legal requirements;

- comply with legal obligations, including but not limited to in response to a legitimate legal request from law enforcement authorities or other government regulators;
- investigate suspected or actual illegal activity;
- prevent physical harm or financial loss; or
- support the sale or transfer of all or a portion of our business or assets (including through bankruptcy).

### ***For U.S.-based individuals: If you have provided your Social Security Number to UTC in the course of business dealings, what additional information should you know?***

UTC does collect Social Security Numbers where required by law, such as for tax and payment purposes. When UTC collects and/or uses Social Security Numbers, UTC will take proper care by protecting confidentiality, limiting collection, ensuring access on a need-to-know basis, implementing appropriate technical safeguards, and ensuring proper disposal.

### **How might UTC change this policy?**

This policy may be modified from time to time without prior notice. We encourage you to review this policy on a regular basis for any changes. Substantive changes will be identified at the top of the policy.

### **How can you contact UTC?**

If you have questions or concerns about a particular UTC business or would like to access, correct or modify your personal information, please contact that business directly. If you have questions about UTC's privacy practices in general or need assistance locating a contact for a particular UTC business, please email [privacy.compliance@utc.com](mailto:privacy.compliance@utc.com).

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