SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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 Addres <u>Nelson Christ</u>	s of Reporting Persor <u>opher John</u>	ı*	2. Issuer Name and Ticker or Trading Symbol <u>CARRIER GLOBAL Corp</u> [CARR]		tionship of Reporting Pers all applicable) Director Officer (give title	erson(s) to Issuer 10% Owner Other (specify	
(Last) 13995 PASTEUR	(First) R BOULEVARD	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 02/05/2022		below) President, HV	below) VAC	
(Street) PALM BEACH GARDENS	^H FL 33418		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Filing Form filed by One Repc Form filed by More than Person	orting Person	
(City)	(State)	(Zip)	ative Securities Acquired, Disposed of, or Benefi	 cially (

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Date Execution Date,		action Instr.				5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	02/05/2022		М		50,403	Α	\$0 ⁽¹⁾	52,033	D	
Common Stock	02/05/2022		F		18,329	D	\$45.84	33,704	D	

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (8)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
RSU P	(1)	02/05/2022		М			50,403	02/05/2022 ⁽²⁾	(2)	Common Stock	50,403	\$0.0000	0.0000	D	

Explanation of Responses:

1. Each Restricted Stock Unit (RSU), including dividend equivalents that accrue during the vesting period, represents a contingent right to receive one share of Carrier Global Corporation common stock. The RSUs vest contingent upon the reporting person's continued employment at the conclusion of the vesting period.

2. The reporting person was originally granted Performance Stock Units (PSUs) on February 5, 2019, by United Technologies Corporation (UTC), the former parent company of the issuer. These PSUs were converted to RSUs in connection with the spin-off of the issuer by UTC. The reporting person's prior filing for a transaction on December 21, 2020, reported a reduction in these RSUs otherwise deliverable to satisfy federal tax obligations and identified this security as "Restricted Stock Unit RSU," but for recordkeeping purposes the title of the security has been changed to "RSU P" to reflect that these RSUs were related to the earlier grant of PSUs.



** 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 4 (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.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.