SEC Form 4
------------

## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number:	3235-0287
Estimated average bu	ırden
hours per response:	0.5

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>Agrawal Ajay</u>			ier Name <b>and</b> Ticke RRIER GLOB					ationship of Reportin k all applicable) Director	Dwner			
(Last) 13995 PASTEUF	(First) R BOULEVARD	(Middle)		e of Earliest Transa 5/2022	ction (M	onth/E	Day/Year)	X	Officer (give title below) Senior VP, Stra	below	′	
(Street) PALM BEACH GARDENS	PALM BEACH FL 33418						(Month/Day/Ye	6. Indi Line) X	,			
(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Bene									Ourred			
1. Title of Security (Instr. 3)     2. Trans Date (Month/)				2A. Deemed Execution Date,	3. Transaction Code (Instr. 8) 4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4)				(A) or	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		14,194	A	<b>\$0</b> <sup>(1)</sup>	55,433	D	
Common Stock		02/05/2022 м 8.056 А								63,489	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned									
	02/05/2022		F		3,123	D	\$45.84	58,310	

F

2,056

D

\$45.84

61,433

D

D

(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 Deri Seci Acq (A) o Disp of (E	umber vative urities uired or oosed O) (Instr. and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		e of Securities		8. Price of Derivative Security (Instr. 5)	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				
Restricted Stock Unit RSU	(1)	02/05/2022		М			8,056	02/05/2022 <sup>(2)</sup>	(2)	Common Stock	8,056	\$0.0000	0.0000	D	
RSU P	(1)	02/05/2022		М			14,194	02/05/2022 <sup>(3)</sup>	(3)	Common Stock	14,194	\$0.0000	0.0000	D	

## Explanation of Responses:

Common Stock

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 granted these RSUs on February 5, 2019, by United Technologies Corporation (UTC), the former parent company of the issuer.

02/05/2022

3. The reporting person was originally granted Performance Stock Units (PSUs) on February 5, 2019, by UTC. 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.

<u>/s/ William Langston as</u>	02/08/2022
<u>Attorney-in-Fact</u>	02/06/2022

\*\* Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $\ast$  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.