SEC Form 4

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FORM 4

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

OMB APPROVAL

OMB Number:	3235-0287					
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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 Address of Reporting Person* Villeneuve Nadia (Last) (First) (Middle) 13995 PASTEUR BOULEVARD				2. Issuer Name and Ticker or Trading Symbol <u>Carrier Global Corp</u> [CARR] 3. Date of Earliest Transaction (Month/Day/Year) 01/02/2021							tionship of Reporting all applicable) Director Officer (give title below) Senior VI	10% C	Owner (specify
(Street) PALM BEACH GARDENS (City)	FL (State)	33418 (Zip)		4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Indiv Line) X	idual or Joint/Group Form filed by One Form filed by Mor Person	e Reporting Pers	on
	Т	able I - N	on-Deriva	tive	Securities Ac	quired, C	isposed of	, or Be	eneficia	ally C	Dwned		
Date			2. Transactic Date (Month/Day/ [\]		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr 8)			. 3, 4 and		5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)

		Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(11501 4)
Common Stock	01/02/2021	М		10,109	A	\$0.0000(1)	15,921	D	
Common Stock	01/02/2021	М		6,006	Α	\$0.0000(1)	21,927	D	
Common Stock	01/02/2021	F		1,414	D	\$37.03	20,513	D	
Common Stock	01/02/2021	F		2,653	D	\$37.03	17,860	D	
Common Stock							1,472	I	By UTC Savings Plan Trustee

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 Deri Sec Acq (A) (Disp of (I	umber vative urities uired or oosed O) (Instr. and 5)	Expiration Date (Month/Day/Year)		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)	01/02/2021		М			6,006	01/02/2021	(2)	Common Stock	6,006 ⁽²⁾	\$0.0000	0.0000	D	
RSU P	(1)	01/02/2021		м			10,109	01/02/2021	(3)	Common Stock	10,109(3)	\$0.0000	0.0000	D	

Explanation of Responses:

1. Each Restricted Stock Unit (RSU) represents a contingent right to receive one share of Carrier common stock.

2. The reporting person was granted these RSUs on January 2, 2018, by United Technologies Corporation (UTC), the former parent company of the issuer.

3. The reporting person was originally granted Performance Stock Units (PSUs) on January 2, 2018, by UTC. These PSUs were converted to RSUs in connection with the spin-off of the issuer by UTC.

/s/ Ariel R. David as Attorney-/2021

/s/ Allel K. David as Attorney-	01/05/
<u>in-Fact</u>	
** Signature of Reporting Person	Date

Signature of Reporting Person

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.