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02 MAR -1

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required To Complete This Page

1. Registrant Name Caterpillar Inc.			
2. Address <input type="checkbox"/> Check if different than previously reported 100 NE Adams Street			
3. Principal Place of Business (if different from line 2) City: Peoria State/Zip (or Country) IL 61629-1430			
4. Contact Name Douglas P. Crew		Telephone (309) 675-5248	E-mail (optional) crew_douglas_p@cat.com
5. Senate ID 8475-1			6. House ID # 313190
7. Client Name <input type="checkbox"/> Self			

TYPE OF REPORT 8. Year 2001 Midyear (January 1-June 30) ☐ OR Year End (July 1-December 31) ☒

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ ⇒ Termination Date _____

11. No Lobbying ☐

INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

12. Lobbying Firms INCOME relating to lobbying activities for this reporting period was: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> ⇒ \$ _____ Income (nearest \$20,000) Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).
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13. Organizations EXPENSES relating to lobbying activities for this period were: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> ⇒ \$ <u>220,000</u> Expenses (nearest \$20,000) 14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description <input type="checkbox"/> Method A. Reporting amounts using LDA de <input type="checkbox"/> Method B. Reporting amounts under section Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section Internal Revenue Code
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Signature Douglas P. Crew

Printed Name and Title ✓ Douglas P. Crew, manager, Governmental Affairs

LD-2 (REV. 6/98)



Registrant Name Caterpillar Inc. Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant was engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code TRD (one per page)

16. Specific lobbying issues

Support Trade Promotion Authority Support Customs Reform Legislation and
Support Free Trade Agreements with Jordan, Singapore, Chile, Australia
Support Efforts to Improve Relations with Iran
Support various bills to improve relations with Cuba
Support Normalized Trade Relations with Vietnam
Support Funding for EX-IM Bank, OPIC, TDA and World Bank
Support WTO Doha Round and FTAA Negotiation
Oppose Trade Restriction on Fairly Traded Steel (Section 201)

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House
U.S. Senate
White House
State Dept.
Treasury Dept.
Commerce Dept.
USTR
USITC

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
William C. Lane	Washington Director, Governmental Affairs

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

Registrant Name Caterpillar Inc. Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the reg engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, p information as requested. Attach additional page(s) as needed.

15. General issue area code TRD (one per page)

16. Specific lobbying issues

Support for issue manager efforts

—Supporting TPA

—Opposing PBOR

—Supporting deferral for Active Finance Services Provision

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

USTR

U. S. House

U. S. Senate

White House

Commerce Dept.

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Matthew R. Pendergrass	Legislative Communicator

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

Registrant Name Caterpillar Inc. Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code SCI (one per page)

16. Specific lobbying issues

Department of Energy AREA Program Interior Appropriations (FY 2002) - Support

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House
U.S. Senate
Department of Energy

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
William N. Ball	Washington Manager, Governmental Affairs

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs



Registrant Name Caterpillar Inc. Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the reg engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, information as requested. Attach additional page(s) as needed.

15. General issue area code TAX (one per page)

16. Specific lobbying issues

Support Deferral for Active Finance (No bill number)
Capital Cost Recovery/Depreciation Reform (No bill number)
International Tax Simplification
Economic Stimulus (HR 3529 & HR 3090)

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U. S. House
U. S. Senate
Treasury
USTR
White House
State Dept.

18. ~~Commerce Dept.~~ Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
William N. Ball	Washington Manager, Governmental Aff

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the reg engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, p information as requested. Attach additional page(s) as needed.

15. General issue area code ENG (one per page)

16. Specific lobbying issues

Electricity Restructuring - Support
Energy Bill (HR 4)

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House
U.S. Senate
Dept. of Energy
EPA

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
William N. Ball	Washington Manager, Governmental Aff

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature Douglas P. Crew Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

Registrant Name Caterpillar Inc. Client Name Self

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15. General issue area code HCR (one per page)

16. Specific lobbying issues

Oppose S.1052 Patients' Bill of Rights
Oppose HR.526 Patients' Bill of Rights
Oppose HIPPA Privacy Regulations

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House
U.S. Senate
Health and Human Services Administration

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
James P. Halloran	Washington Manager, Governmental Aff
Edward J. Kaleta	Washington Manager, Governmental Afi

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

Registrant Name Caterpillar Inc. Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code DEF (one per page)

16. Specific lobbying issues

Support Defense Appropriations - H.R. 3338, H. Rpt. 107-350

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House
U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
James P. Halloran	Washington Manager, Governmental Affairs
Edward J. Kaleta	Washington Manager, Governmental Affairs

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

Registrant Name Caterpillar Inc. Client Name Self

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15. General issue area code TRD (one per page)

16. Specific lobbying issues

Support for company export issues

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. Senate
Dept. of Commerce
Dept. of State
Dept. of Energy

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Richard S. Brent	Director, Government Affairs

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs



Registrant Name Caterpillar Inc. Client Name Self

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15. General issue area code ENG (one per page)

16. Specific lobbying issues

Electricity Restructuring - Support

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

U.S. House

U.S. Senate

U.S. Department of Energy

EPA

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Rita L. Castle	Issues Analysis Manager
Richard S. Brent	Director, Government Affairs

19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

Registrant Name Caterpillar Inc. Client Name Self

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15. General issue area code LBR (one per page)

16. Specific lobbying issues

Oppose Contract Debarment Regulations
Support Congressional Review Act PL-107-5 (Ergonomics)
Support HR 1602 - Rewarding Performance in Compensation Act

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House
U.S. Senate
Office of Federal Procurement Policy
Office of Management & Budget
Executive Office of the President

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
James P. Halloran	Washington Manager, Governmental Affa

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

Registrant Name Caterpillar Inc. Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant was engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code EDU (one per page)

16. Specific lobbying issues

Support HRI Education Reauthorization
Support S.1 Education Reauthorization

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House
U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
James P. Halloran	Washington Manager, Governmental Affairs

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs



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15. General issue area code NAT (one per page)

16. Specific lobbying issues

Department of Interior/BLM/Mountain Top Mining Reform/Millsite Issues - Support
Expanded Access to Oil and Natural Gas on Federal Lands - Support

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House

U.S. Senate

U.S. Department of Interior

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Rita L. Castle	Issues Analysis Manager

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs



Registrant Name Caterpillar Inc. Client Name Self

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15. General issue area code TOR (one per page)

16. Specific lobbying issues

Workplace Goods Job Growth and Competitiveness Act - Oppose
Interstate Class Action Fairness Act - Support

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House
U.S. Senate
Dept. of Justice
Administration

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Rita L. Castle	Issues Analysis Manager

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

[REDACTED]

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15. General issue area code ENG (one per page)

16. Specific lobbying issues

Securing America's Future Energy Act of 2001 (HR4) - Support
—Arctic National Wildlife Refuge
—Clean Coal Technology R&D
—Alternative Fuels Vehicle Competitive Grant Program/Green School Buses

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

U.S. House of Representatives
U.S. Senate
U.S. Department of Energy

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Rita L. Castle	Issues Analysis Manager

19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature _____ Date _____

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs



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15. General issue area code SCI (one per page)

16. Specific lobbying issues

Dept. of Energy, OHVT, R&D Appropriations (FY2003) - Support

—HDDE Program

—LDDE Program

—Advanced Petroleum Based Fuels

21st Century Truck Initiative - Support

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

U.S. House

U.S. Senate

Department of Energy

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Rita L. Castle	Issues Analysis Manager

19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature  Date Feb 11 2003

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

