

01 JUL 24 PM 3:16

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 # 8475-12
7. Client Name <input checked="" type="checkbox"/> Self	6. House ID # 31319000		

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 Activity ☐

INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

12. Lobbying Firms	13. Organizations
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).	EXPENSES relating to lobbying activities for this reporting period were: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ 220,000.00 Expenses (nearest \$20,000) 14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options. <input type="checkbox"/> Method A. Reporting amounts using LDA definitions only <input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code

Signature _____

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 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 TRD (one per page)

16. Specific lobbying issues

Support Sanctions Process Reform
Support Trade Promotion Authority
Support Free Trade Agreements with Jordan, Singapore, Chile, Australia
Support Efforts to Improve Relations with Iran
Support Normal Trade Relations with China (annual)
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 Customs Reform Legislation and Funding
Support Export Administration Act

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

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

Name	Covered Official Position (if applicable)	New
William C. Lane	Washington Director, Governmental Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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 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 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)	New
Richard S. Brent	Director, Government Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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 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 (No Bill Number at Present)

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)	New
James P. Halloran	Washington Manager, Governmental Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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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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 EDU (one per page)

16. Specific lobbying issues

Support H.R. 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)	New
James P. Halloran	Washington Manager, Governmental Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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 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 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)	New
James P. Halloran	Washington Manager; Governmental Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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 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 LBR (one per page)

16. Specific lobbying issues

Oppose Contract Debarment Regulations
Support Congressional Review Act PL-107-5 (Ergonomics)
Support H.R. 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)	New
James P. Halloran	Washington Manager, Governmental Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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 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 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
Dept. of Energy
EPA

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

Name	Covered Official Position (if applicable)	New
William N. Ball	Washington Manager, Governmental Affairs	<input type="checkbox"/>
Rita L. Castle	Issues Analysis Manager	<input type="checkbox"/>
Richard S. Brent	Director, Government Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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 SCI (one per page)

16. Specific lobbying issues

Dept. of Energy, OHVT, R&D Appropriations (FY2002) - 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
Dept. of Energy

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

Name	Covered Official Position (if applicable)	New
Rita L. Castle	Issues Analysis Manager	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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 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 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)	New
Rita L. Castle	Issues Analysis Manager	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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 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. Dept. of Interior

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

Name	Covered Official Position (if applicable)	New
Rita L. Castle	Issues Analysis Manager	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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

☐ Check if None

Signature _____ Date _____

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

16. Specific lobbying issues

Department of Energy ARES 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)	New
William N. Ball	Washington Manager, Governmental Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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

16. Specific lobbying issues

Support HR 4986 PSC Repeal & Extraterritorial Income Act of 2000
Support Interest Allocation Reform (No bill number)
Support Deferral for Active Finance (No bill number)
Capital Cost Recovery/Depreciation Reform (No bill number)
International Tax Simplification

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

☐ Check if None

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

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

Name	Covered Official Position (if applicable)	New
William N. Ball	Washington Manager, Governmental Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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

☐ Check if None

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

16. Specific lobbying issues

Support China PNTR

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

☐ Check if None

USTR
U. S. House of Representatives
U. S. Senate
White House
Commerce Dept.

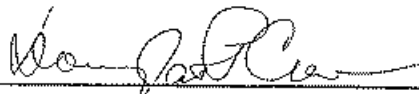
18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)	New
Matthew R. Pendergrass	Legislative Communicator	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

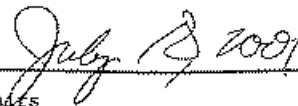
19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature



Date



Printed Name and Title

Douglas P. Crew, Manager, Governmental Affairs

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