

LOBBYING REPORT

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

1. Registrant Name:

CATERPILLAR

2. Address:

100 NE Adams Street, Peoria, IL 61629-1430

3. Principal place of business (if different from line 2):

4. Contact Name: DOUGLAS P. CREW

Telephone: 3096755248

E-mail (optional): crew_douglas_p@cat.com

Senate ID #: 8475-12

House ID #:

7. Client Name: ☒ Self

TYPE OF REPORT

8. Year 2006 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

INCOME relating to lobbying activities for this reporting period was:

Less than \$10,000: ☐

\$10,000 or more: ☐ => 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).

13. Organizations

EXPENSES relating to lobbying activities for this reporting period were:

Less than \$10,000: ☐

\$10,000 or more: ☒ => Expenses (nearest \$20,000): 1,160,000.00

14. Reporting Method.

Check box to indicate expense accounting method. See instructions for description of options.

☐ **Method A.** Reporting amounts using LDA definitions only

☐ **Method B.** Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

☒ **Method C.** Reporting amounts under section 162(e) of the Internal Revenue Code

Registrant Name: CATERPILLAR 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: BUD (one per page)

16. Specific lobbying issues:

* Support H.R. 5631 - Defense Appropriation - Service Life Extension Program, construction equipment, diesel engines. Oppose DOD budget reprogramming - FMTV Supported H.R. 5386 - National Clean Diesel Initiative - appropriations for DERA (Diesel Emission Reduction Act of 2005) - a bill appropriating federal loans and grants to assist contractors' fleets of diesel equipment to reduce emissions. Support H.R. 5386 - Interior and Environment Appropriations - National Clean Diesel Initiative. Support - Energy and water appropriation, FY07 appropriations for heavy truck engine program, ARES program H.R. 5427. 8 10 11

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

Defense, Dept of (DOD)
Energy, Dept of
Environmental Protection Agency (EPA)
HOUSE OF REPRESENTATIVES
Office of Management & Budget (OMB)
SENATE

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

Name: LYNN, JASON

Covered Official Position (if applicable): WASHINGTON MANAGER, GOVERNMENTAL AFFAIRS

Name: MYERS, CHRISTOPHER

Covered Official Position (if applicable): WASHINGTON MANAGER, GOVERNMENTAL AFFAIRS

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

Registrant Name: CATERPILLAR 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:

Oppose H.R. 5122 - Defense Authorization - Berry Amendment. Support S.2766 - Defense Authorization - Berry Amendment.

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

Defense, Dept of (DOD)

HOUSE OF REPRESENTATIVES

SENATE

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

Name: MYERS, CHRISTOPHER

Covered Official Position (if applicable): WASHINGTON MANAGER, GOVERNMENTAL AFFAIRS

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

Registrant Name: CATERPILLAR 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:

* Support H.R. 4761 - Deep Ocean Energy Resources Act - a bill opening the outer continental shelf (Gulf of Mexico) to expand oil and natural gas development. Support S-2253 - A bill to open about 8 million acres in the Gulf of Mexico to oil and gas development. Support S-3711 - Gulf of Mexico Energy Security Act of 2006 - directs the Department of the Interior to begin oil and gas leasing in designated parts of the gulf. Electricity Restructuring - Support 12 13 14

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

Energy, Dept of
Environmental Protection Agency (EPA)
HOUSE OF REPRESENTATIVES
SENATE

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

Name: BRENT, RICHARD

Covered Official Position (if applicable): DIRECTOR, SOLAR TURBINES, INC. GOVT AFFAIRS

Name: LYNN, JASON

Covered Official Position (if applicable): WASHINGTON MANAGER, GOVERNMENTAL AFFAIRS

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

Registrant Name: CATERPILLAR Client Name: Self

LOBBYING ACTIVITY.

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

16. Specific lobbying issues:

Oppose S.975 Project Bioshield II Act of 2005 - seek revisions to bioterrorism bill re: patent extensions on prescription drugs. Support HR6257 Access to Life-Saving Medicines Act to establish process in which FDA will be able to approve generic biolog.

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: HIMES, KATHRYN S

Covered Official Position (if applicable): WASHINGTON MANAGER, GOVERNMENTAL AFFAIRS

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

Registrant Name: CATERPILLAR 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: RET (one per page)

16. Specific lobbying issues:

Support HR 4 - The Pension Protection Act of 2005 - to give workers more freedom to diversity, better access to investment choices, strengthening enforcement of federal pension protection laws.

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: HIMES, KATHRYN S

Covered Official Position (if applicable): WASHINGTON MANAGER, GOVERNMENTAL AFFAIRS

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

Registrant Name: CATERPILLAR 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: TAX (one per page)

16. Specific lobbying issues:

Support H.R. 1417 & S1159 - bill to extend subpart F exemption. S2020, H.R. 4297 - tax reconciliation bills - extend subpart F active financing exception, R&E credit. Support H.R. 5970 - R&E Credit expansion. Support H.R. 5986/S. 3496 Working American Competitiveness Act. H.R. 6111 - R&E Credit expansion. IRC Section 954 and related regulations.

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

HOUSE OF REPRESENTATIVES

SENATE

Treasury, Dept of

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

Name: MYERS, CHRISTOPHER

Covered Official Position (if applicable): WASHINGTON MANAGER, GOVERNMENTAL AFFAIRS

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

Registrant Name: CATERPILLAR 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:

business or trade. Support S.852 ("Fairness in Asbestos Injury Resolution Act of 2005") FAIR Act. Asbestos reform legislation. Support HR 3509 - Workplace Goods Job Growth and Competitiveness Act; establish a statute of repose for durable goods.

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: HIMES, KATHRYN S

Covered Official Position (if applicable): WASHINGTON MANAGER, GOVERNMENTAL AFFAIRS

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

Registrant Name: CATERPILLAR Client Name: Self

LOBBYING ACTIVITY

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

16. Specific lobbying issues:

* Support H.R. 3057 - Foreign Operations, Export Financing, and Related Programs Appropriations Act of 2006. Support the WTO Doha Development Agenda. Promote Free Trade Agreements with Peru, Colombia, Panama, Egypt and New Zealand. Support Russia PNTR Support H.R. 5684, S3569 - U.S. -Oman Free Trade Agreement. Support H.R. 5602, S. 3495 - Vietnam PNTR. Support H.R. 6406 - Miscellaneous Trade Bill. Support H.W. 208 and H.R. 579 - Legislation that would lift some U.S. travel/trade restrictions against Cuba. Support S.270 - Legislation to establish a process for imposing U.S. unilateral sanctions. Oppose S.14, S.295, S.377, S.984, H.R. 2208 - Legislation mandating increased duties on Chinese imports to offset the impact of an artificially-low currency or allow for new trade remedies against China. 5

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

Commerce, Dept of (DOC)

HOUSE OF REPRESENTATIVES

SENATE

State, Dept of (DOS)

U.S. International Trade Commission (ITC)

U.S. Trade Representative (USTR)

White House Office

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

Name: LANE, WILLIAM C.

Covered Official Position (if applicable): WASHINGTON DIRECTOR, GOVERNMENTAL AFFAIRS

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

Signature: ON FILE Date: Feb 14, 2007

Printed Name and Title: DOUGLAS P. CREW, MANAGER, GOVERNMENTAL AFFAIRS -