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## LOBBYING REPORT

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

1. Registrant Name <b>Caterpillar Inc.</b>			
2. Address <input type="checkbox"/> Check if different than previously reported <b>100 NE Adams Street</b>			
3. Principal Place of Business (if different from line 2) City: <b>Peoria</b> State/Zip (or Country) <b>IL 61629-1430</b>			
4. Contact Name <b>Douglas P. Crew</b>	Telephone <b>(309) 675-5248</b>	E-mail (optional) <b>crew_douglas_p@CAT.com</b>	5. Senate ID # <b>8475-12</b>
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # <b>31319000</b>

TYPE OF REPORT 8. Year 2000 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 ☐

<b>INCOME OR EXPENSES - Complete Either Line 12 OR Line 13</b>	
<b>12. Lobbying Firms</b> 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).	<b>13. Organizations</b> 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"/> ⇒ \$ <u>200,000.00</u> Expenses (nearest \$20,000) <b>14. REPORTING METHOD.</b> 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**

LD-2 (REV. 6/98)

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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 TRD (one per page)

16. Specific lobbying issues Support Customs Reform Legislation and Funding

Support Sanctions Process Reform (HR 1244 & S 757)

Support Free Trade Agreements with Jordan, Singapore, and Chile

Support Efforts to Improve Relations with Iran

Support Normal Trade Relations with China (annual and permanent)

Support various bills to improve relations with Cuba

Support Export Administration Act

Support Normalized Trade Relations with Vietnam

Support Funding for EX-IM Bank, OPIC TDA and World Bank

17. Oppose Resolution for US to Withdraw from WTO ☐ Check if None

House(s) of Congress and Federal agencies contacted

House of Representatives

Senate

White House

State Department

Treasury Department

Commerce Department

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 \_\_\_\_\_

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 (HR 2561 -- Dept. of Defense Appropriations Act)

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

House of Representatives  
Senate

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

Name	Current 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 \_\_\_\_\_

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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 IMM (one per page)

16. Specific lobbying issues

Support American Competitiveness in the 21st Century Act (S 2045)  
Support the High-Tech Act (HR 3983)

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

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 \_\_\_\_\_

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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 LBR (one per page)

16. Specific lobbying issues

Support OSHA Reform (S 385) Salary Advancement for Employees Act of 1999  
Support OSHA Reform (HR 1427) Safety Advancement for Employees Act of 1999  
Support OSHA Reform (HR 1434, HR 1436--39)  
Support OSHA Reform (HR 987) Workplace Preservation Act  
Oppose Contract Debarment Regulations - Proposal Dealing with Federal Contract Awards  
Support Labor - HHS Appropriations (HR 4577)  
Support Treasury, Postal Service Appropriations (HR 4871)

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

House of Representatives  
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 \_\_\_\_\_

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 NAT (one per page)

16. Specific lobbying issues

Department of Interior/BLM/Mountain Top Mining 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 of Representatives  
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)	New
Rita L. Castle	Issues Analysis Manager	<input type="checkbox"/>
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"/>

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_

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 of Representatives  
U.S. Senate  
Department 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 \_\_\_\_\_

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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 SCI (one per page)

16. Specific lobbying issues

Department of Energy, OEVY, R&D Appropriations (FY 2002) - 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 of Representatives  
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
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 \_\_\_\_\_



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 Tax (one per page)

16. Specific lobbying issues

Support HR 4986 FSC Repeal & Extraterritorial Income Act of 2000  
Support Interest Allocation Reform (No bill number)  
Support Deferral for Active Finance (No bill number)

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

House of Representatives  
Senate  
Treasury  
USTR

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_

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 China PNTR (HR 4444)  
Support Normalized Trade Relations with Vietnam  
Oppose Trade Sanctions Against Russia

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

House of Representatives  
Senate

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 checked="" 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 \_\_\_\_\_

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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 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 of Representatives  
U.S. Senate  
Department of Energy  
EPA

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"/>
William N. Ball	Washington Manager, Governmental Affairs	<input checked="" 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 \_\_\_\_\_

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

Senate  
Department of Commerce  
Department of State  
Department 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 \_\_\_\_\_

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 China PNTR

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

☐ Check if None

USIA  
House of Representatives  
Senate  
White House  
State Department  
Treasury Department  
Commerce Department

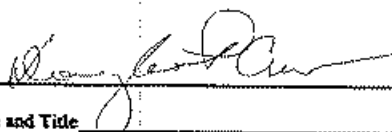
18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)	New
Lisa H. Young	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

10/12/2001

Printed Name and Title

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