



SECRETARY OF THE SENATE

03 OCT 22 PM 2: 29

Caterpillar Inc.

100 NE Adams Street
Peoria, Illinois 61629

October 10, 2003

Mr. Jeff Trandahl, Clerk
Office of the Clerk
U.S. House of Representatives
Washington, DC 20515 – 6601

Dear Sir:

The attached amended report is in response to your October 2, 2003 letter requesting additional information on our 2002 Mid Year Report filed with your office.

We regret the report was filed with incorrect and missing information and believe the attached corrections bring us into compliance.

Thank you for bringing this to our attention.

Sincerely,

A handwritten signature in black ink, appearing to read "Doug P. Crew".

Manager
Governmental Affairs

Doug P. Crew
309-675-5248
Fax: 309-675-5815
crew_douglas_p@cat.com
enc: Report

JEFF TRANDAHL
CLERK

H-154

MARTHA C. MORRISON
DEPUTY CLERK

Office of the Clerk
U.S. House of Representatives
Washington, DC 20515-6601

SECRETARY OF THE SEN

03 OCT 22 PM 3:2

October 2, 2003

Mr. Douglas F. Crew
Caterpillar, Inc.
100 N.E. Adams Street
Peoria, IL 61629-1430

RE: ID: 31319000

The Lobbying Disclosure Act of 1995 (2 USC 1601) directs the Clerk of the House of Representatives to "review, and, where necessary, verify and inquire to ensure the accuracy, completeness and timeliness of registrations and reports".

A preliminary review of your 2002 Mid Year Report filed with the Office of the Clerk indicates the following omissions and/or errors:

Line 15 is incorrect. There appears to be a discrepancy in the three character codes entered on Page 2. Please correct by referring to the list on Page 3 of the instructions.

Line 17 was omitted. Please list the Houses of Congress and specific Federal agencies contacted.

Please file an amended Report Form correcting these omissions and/or errors within 10 days, with the Legislative Resource Center, B106 Cannon House Office Building, Washington D.C. 20515.

If you have any questions regarding this matter, please do not hesitate to contact the Legislative Resource Center at (202) 226-5200.

**Please Note: The law requires a separate filing with the Secretary of the Senate.* ✓

Clerk of the House of Representatives
Legislative Resource Center
8-106 Cannon Building
Washington, DC 20515

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

SECRETARY OF THE SENATE

03 OCT 22 PM 2:29

LOBBYING REPORT

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

1. Registrant Name

Caterpillar Inc.

2. Address ☐ 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 ☒ Self

6. House ID

3131900

TYPE OF REPORT 8. Year 2002 Midyear (January 1-June 30) ☒ OR Year End (July 1-D9. Check if this filing amends a previously filed version of this report ☒10. Check if this is a Termination Report ☐ ⇒ Termination Date _____

11. No Lobby

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 period were:

Less than \$10,000 ☐\$10,000 or more ☐ ⇒ \$ 240,000

Expenses (nearest \$

14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description:

☐ Method A. Reporting amounts using LDA del☐ Method B. Reporting amounts under section Internal Revenue Code☐ Method C. Reporting amounts under section Internal Revenue Code

Signature 

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 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.

5. General issue area code FIN (one per page)

6. Specific lobbying issues

Oppose S.1940 Double Standard for Stock Options Act

Oppose H. R. 4075 Double Standard for Stock Options Act

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

☐ Check if None

U. S. House

U. S. Senate

White House

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

Name	Covered Official Position (if applicable)
Ed 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

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 the information as requested. Attach additional page(s) as needed.

1. General issue area code RET (one per page)

5. Specific lobbying issues

Oppose S.1992 America's Pension Act of 2002

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

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

Name	Covered Official Position (if applicable)
Ed 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

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 is 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.

General issue area code LBR (one per page)

5. Specific lobbying issues

Oppose S.2184 - Ergonomics Rule Bill

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

☐ Check if None

U. S. House

U. S. Senate

Dept. of Labor

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

Name	Covered Official Position (if applicable)
Ed Kaleta	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**

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 is 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.

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

2. Specific lobbying issues

Support Defense Appropriations - H.R. 5010

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

☐ Check if None

U. S. House
U. S. Senate

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

Name	Covered Official Position (if applicable)
Ed Kaleta	Washington Manager, Governmental Affairs

5. 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 was engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide the information as requested. Attach additional page(s) as needed.

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

4. Specific lobbying issues

Support H.R. 4954 - Medicare Modernization & Prescription Drug Act of 2002

Oppose S.1052 Patients' Bill of Rights

Oppose H.R. 526 Patients' Bill of Rights

Oppose HIPPA Privacy Regulations

Support S.812 - Greater Access to Affordable Pharmaceuticals Act

Support HR1862 - Greater Access to Affordable Pharmaceuticals Act

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

☐ Check if None

U. S. House

U. S. Senate

Health and Human Services Administration

White House

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

Name	Covered Official Position (if applicable)
Ed 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

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.

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

5. 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 _____ 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, p 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 (H.R. 3529 & H.R. 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.

Commerce Dept.

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 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.

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

6. 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)
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

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 is 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.

General issue area code TRD (one per page)

5. Specific lobbying issues

Bi-Partisan Trade Promotion Authority Act of 2001 (H.R. 3005)
Trade Act of 2002 (H. R. 3009)

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)
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 registrant was engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide the information as requested. Attach additional page(s) as needed.

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

6. Specific lobbying issues

Support for issue manager efforts

—Supporting TPA

—Opposing PBOR

—Supporting deferral for Active Finance Services Provision

—Supporting Comprehensive Energy legislation

—Opposing Steel Tariffs (Sect. 201)

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

☐ Check if None

USTR

U. S. House

U. S. Senate

White House

Commerce Department

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**

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.

5. General issue area code ENV (one per page)

6. Specific lobbying issues

Various Diesel Engine Issues

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

☐ Check if None

Dept. of Transportation
Office of Management & Budget
Environmental Protection Agency
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)
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

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 Free Trade Agreements with Jordan, Singapore, Chile, Australia, New Zealand

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 Trade Steel (Section 201)

Support Customs Reform Legislation and Funding

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

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 is 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

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
 U. S. Senate
 U. S. Dept. 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

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 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
 Dept. 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**

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 TOR (one per page)

16. Specific lobbying issues

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

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 NAT (one per page)

16. Specific lobbying issues

Dept. 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)
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

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.

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

6. 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

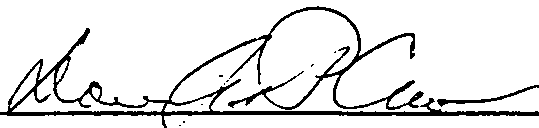
18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
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

8/13/02

Printed Name and Title

Douglas P. Crew, Manager, Governmental Affairs

