

00 FEB 14 AM 9:38

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 N. E. 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		6. House ID # 31319000	

TYPE OF REPORT 8. Year 1999 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 ☐

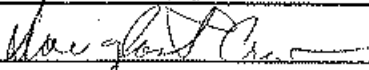
10. Check if this is a Termination Report ☐ ⇨ Termination Date _____

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:	EXPENSES relating to lobbying activities for this reporting period were:
Less than \$10,000 <input type="checkbox"/>	Less than \$10,000 <input type="checkbox"/>
\$10,000 or more <input type="checkbox"/> ⇨ \$ _____ Income (nearest \$20,000)	\$10,000 or more <input checked="" type="checkbox"/> ⇨ \$ <u>180,000.00</u> Expenses (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).	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**

LD-2 (REV. 6/98)

PAGE 1 of _____

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

Appropriations Bill for Interior and Related Agencies (HR 4602) - provisions relating to stationary power programs

Utility Restructuring Bill (HR 2944)

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

House of Representatives

Senate

EPA

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 Brent	Director of 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

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 through advocacy and business relations offices

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 Brent	Director of 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 _____

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Page _____ of _____

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 HR 2723 Bipartisan Consensus Managed Care Improvement Act of 1999
Support S 1344 Patients' Bill of Rights Act of 1999

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
Lisa R. Young	Communications Representative	<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 _____

Form LD-2 (Rev. 6/98)

Page _____ of _____

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

USTR
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	Communications Representative	<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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Page ____ of ____

Registrant Name Caterpillar Inc. Client Name Self

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

16. Specific lobbying issues

HR.2944: Electricity Restructuring

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
<u>Rita L. Castle</u>	<u>Issues Analysis Manager</u>	<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 TOR (one per page)

16. Specific lobbying issues

HR. 2005 - Workplace Goods Job Growth and Competitiveness Act
S. 353 - Interstate Class Action Fairness Act

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 _____

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, ORVT, Appropriations (FY 2001)
---HDBE Program
---LJDE Program
---Advanced Petroleum Based Fuels

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 NAT (one per page)

16. Specific lobbying issues

Department of Interior/BLM/Mountain Top Mining Mining Reform/
Millsite Issues

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
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"/>

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 Sanctions Process Reform (H.R. 1244 & S.757)
Support Normal Trade Relations with China (annual and permanent)
Support Silk Road Strategy Act of 1999 (S.579)
Support various Bills to improve relations with Cuba (H.R. 230; 1181; 1644; 2365 & S.926)
Support various free trade initiatives related to WTO meeting in Seattle
Support Export Administration Act (S.1712)

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

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 TAX (one per page)

16. Specific lobbying issues

Support Deferral for Active Financing income (Support HR 681, S 892)
Support IRS Notices (98-35 and similar) concerning hybrid entities
Support R&D Credit extension (Support HR 760, S 195)
Support International Simplification Provisions (HR 2018, S 1164)
Oppose Administration's budget proposals relating to increased taxes on exporters
Support the Export Source Rule
Support Provisions Relating to Foreign Sales Corporations

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

House of Representatives
Senate
Treasury Department
USTR
Executive Office of the White House

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

Name	Covered Official Position (if applicable)	New
John T. Disharoon	Washington Manager	<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 TRD (one per page)

16. Specific lobbying issues

Support Normalized Trade Relations with Vietnam (oppose H.J. Res 58, S. J. Res 28)
Support bi-lateral trade discussions with Vietnam
Support Africa Growth and Opportunity Act (HR 434, S 666)
Support the Export Enhancement Act of 1999 (HR 1993, S 688) including OPIC, TDA,
Export Financing
Support HR 1141 - Emergency Supplemental Appropriations Act

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

House of Representatives
Senate
USTR
Commerce Department
Executive Office of the White House

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

Name	Covered Official Position (if applicable)	New
John T. Disharoon	Washington 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 NSF (one per page)

16. Specific lobbying issues

Support Defense Appropriations (S.1122 - Dept. of Defense Appropriations Act)

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

U.S. House of Representatives

U.S. Senate

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

Name	Covered Official Position (if applicable)	New
<u>James P. Halloran</u>	<u>Washington Manager, Governmental Affairs</u>	<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 _____

Form F D-2 (Rev. 4/94)

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) Safety Advancement for Employees Act of 1999
Support OSHA Reform (H.R. 1427) Safety Advancement for Employees Act of 1999
Support OSHA Reform (H.R. 1434, H.R. 1436-39)
Support OSHA Reform (H.R. 987) Workplace Preservation Act
Oppose Contract Debarment Regulations - Proposal Dealing with Federal Contract Awards

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

☐ Check if None

U.S. House of Representatives
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 _____

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 BCR (one per page)

16. Specific lobbying issues

Support Health Care Reform (S.300/S.326) Patients' Bill of Rights of 1999
Oppose Health Care Reform (S.1344) Patients' Bill of Rights
Oppose Health Care Reform (H.R.2723)

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

U. S. House of Representatives
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. Walloran	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 _____