

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

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

RECEIVED.
SECRETARY OF THE SENATE
03 FEB 14 PM 3

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 # 3131900

TYPE OF REPORT 8. Year 2002 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 Activities ☐

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 ☐ ⇨ \$ 240,000
Expenses (nearest \$20,000)


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

☐ Method A. Reporting amounts using LDA definition

☐ Method B. Reporting amounts under section 6011 Internal Revenue Code

☐ Method C. Reporting amounts under section 162 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 was engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide the following information as requested. Attach additional page(s) as needed.

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

16. 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 following information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

Oppose S. 1992 America's Pension Act of 2002

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)
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

1
 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.

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

16. 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 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 DEF (one per page)

16. Specific lobbying issues

Support Defense Appropriations - H.R. 5010

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)
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.

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

16. 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 H.R. 1862 - 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.

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 the 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 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 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 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 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)
Rita L. Castle	Issues Analysis Manager
Richard S. Brent	Director, Solar Turbines Incorporat Government 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 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 TRD (one per page)

16. Specific lobbying issues

Support Trade Promotion Authority
 Support Free Trade Agreements with 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 Traded 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 reg engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, g information as requested. Attach additional page(s) as needed.

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

16. 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 and 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 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)

American Competitiveness Act of 2002 (H.R. 5090: Thomas Bill)

Fairness, Simplification and Competitiveness for American Business Act of 2002 (H.R. 2843)

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 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

Department of Energy AREA 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 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

Caterpillar Inc.

Self

Registrant Name _____ Client Name _____

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

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.

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

16. Specific lobbying issues

Electricity Restructuring - Support
Energy Bill(H.R. 4)

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

U. S. House
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)
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 Jul 5 1994

Printed Name and Title Douglas P. Crew, Manager, Governmental Affairs

