



State of Rhode Island and Providence Plantations
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

Foreign Business Corporation
Annual Report

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2017

1. Corporate ID No. 000038635

2. Name of Corporation Caterpillar Inc.

3. Street Address Principal Business Office:

No. and Street: 100 NE ADAMS STREET

City or Town: PEORIA

State: IL

Zip: 61629-7310

Country: USA

4. Business Phone No.

3096755120

5. State of Incorporation

State: DE

ARTICLE III

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code

6

31-33

6. Brief Description of the Character of Business Conducted in Rhode Island

DESIGN, MANUFACTURE AND MARKETING OF MACHINERY AND ENGINES

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
TREASURER	RICHARD D MOORE	100 NE ADAMS STREET PEORIA, IL 61629 USA
CHIEF ETHICS & COMPLIANCE	LANCE W. HIGH	100 NE ADAMS STREET

OFFICER		PEORIA, IL 61629 USA
VICE PRESIDENT	KATHRYN DICKEY KAROL	100 NE ADAMS STREET PEORIA, IL 61629 USA
CEO AND DIRECTOR	D. JAMES UMPLEBY III	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR & CHAIRMAN OF THE BOARD	DOUGLAS R OBERHELMAN	100 NE ADAMS STREET PEORIA, IL 61629 USA
GROUP PRESIDENT	BOB DE LANGE	100 NE ADAMS STREET PEORIA, IL 61629 USA
GROUP PRESIDENT	DENISE C JOHNSON	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	JOSEPH E CREED	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	ZACHARY A KAUK	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	DAVID T WALTON	100 NE ADAMS STREET PEORIA, IL 61629 USA
CONTROLLER	KYLE J. EPLEY	100 NE ADAMS STREET PEORIA, IL 61629 USA
ASSISTANT SECRETARY	CHAD J WIENER	100 NE ADAMS STREET PEORIA, IL 61629 USA
CHIEF AUDIT OFFICER	JILL E DAUGHERTY	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	PHILLIP G. KELLIHER	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	EVELYN J. SAVAGE	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	GEORGE H. TAYLOR	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	JULIE A LAGACY	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	MILES D. WHITE	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	GREGORY S. FOLLEY	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	FRANK CRESPO	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	KENT M. ADAMS	2120 WEST END AVENUE NASHVILLE, TN 37203 USA
VICE PRESIDENT	WILLIAM P. AINSWORTH	1600 PROGRESS DRIVE ALBERTVILLE, AL 35950 USA
DIRECTOR	EDWARD B. RUST JR.	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	SUSAN C. SCHWAB	100 NE ADAMS STREET PEORIA, IL 61629 USA
SECRETARY	CHRISTOPHER M. REITZ	100 NE ADAMS STREET PEORIA, IL 61629 USA
SENIOR VICE PRESIDENT	JAMES B. BUDA	100 NE ADAMS STREET PEORIA, IL 61629 USA
CHIEF LEGAL OFFICER	JAMES B. BUDA	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	DAVID L. CALHOUN	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	DANIEL M. DICKINSON	100 NE ADAMS STREET

		PEORIA, IL 61629 USA
DIRECTOR	JUAN GALLARDO T.	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	JESSE J. GREENE JR.	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	PAOLO FELLIN	76 ROUTE DE FRONTENEX GENEVA, CH1211 CHE
VICE PRESIDENT	TANA L. UTLEY	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	THOMAS J. BLUTH	ROUTE 29, RENCHVILLE ROAD MOSSVILLE, IL 61552 USA
VICE PRESIDENT	QI HUA CHEN	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	THOMAS G FRAKE	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	RAMIN YOUNESSI	100 NE ADAMS STREET PEORIA, IL 61629 USA
GROUP PRESIDENT	ROBERT B. CHARTER	100 NE ADAMS STREET PEORIA, IL 61629 USA
GROUP PRESIDENT	THOMAS PELLETTE	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	DOUGLAS O. HOERR	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	DENNIS A. MUILENBURG	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	WILLIAM A. OSBORN	100 NE ADAMS STREET PEORIA, IL 61629 USA
ASSISTANT SECRETARY	JONI J FUNK	100 NE ADAMS STREET PEORIA, IL 61629 USA
CHIEF ACCOUNTING OFFICER	JANANNE A. COPELAND	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	NIGEL A LEWIS	100 NE ADAMS STREET PEORIA, IL 61629 USA
GROUP PRESIDENT AND CHIEF FINANCIAL OFFICER	BRADLEY M. HALVERSON	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	PABLO M KOZINER	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	KARL E WEISS	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	WAI MAN CHAN	100 NE ADAMS STREET PEORIA, IL 61629 USA
VICE PRESIDENT	KENNETH J HOEFLING	100 NE ADAMS STREET PEORIA, IL 61629 USA
ASSISTANT TREASURER	SALLY A. STILES	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	JON M HUNTSMAN JR	100 NE ADAMS STREET PEORIA, IL 61629 USA
DIRECTOR	DEBRA REED	100 NE ADAMS STREET PEORIA, IL 61629 USA

8. Shares Authorized and Issued

				Total Issued
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Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	and Outstanding <i>Num of Shares</i>
STK	C	\$1.0000	2,000,000,000.00	814894624
STK	C	\$1.0000	5,000,000.00	0

9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

Signed this 13 Day of February, 2017 at 3:57:20 PM. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By JODIE CATTON
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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