



**State of Rhode Island  
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:** 2021

**1. Corporate ID No.** 000038635

**2. Name of Corporation** Caterpillar Inc.

**3. Street Address Principal Business Office:**

No. and Street: 510 LAKE COOK ROAD, STE. 100

City or Town: DEERFIELD

State: IL Zip: 60015 Country: USA

**4. Business Phone No.**

309-675-1000

**5. State of Incorporation**

State: DE

**ARTICLE III**

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

333120

**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	Address
TREASURER	RICHARD MOORE	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CEO	DONALD J. UMPLEBY	510 LAKE COOK ROAD, STE. 100

		DEERFIELD, IL 60015 USA
VICE PRESIDENT	FREDERIC ISTAS	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	CHRISTOPHER SNODGRASS	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	QI HUA CHEN	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	THOMAS FRAKE	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
GROUP PRESIDENT	DENISE JOHNSON	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	OGI REDZIC	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	KATHRYN KAROL	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	TANA UTLEY	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	DAMIEN GIRAUD	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	DAVID WALTON	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	JASON CONKLIN	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
GENERAL COUNSEL	SUZETTE M LONG	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
PRESIDING DIRECTOR	DAVID L CALHOUN	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	DEBRA REED-KLAGES	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	KARL WEISS	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CHIEF FINANCIAL OFFICER	ANDREW BONFIELD	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
ASSISTANT SECRETARY	BARBARA THOMAS	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	NIGEL LEWIS	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	PHILLIP KELLIHER	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	JULIE LAGACY	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
GROUP PRESIDENT	BOB DE LANGE	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
SENIOR VICE PRESIDENT	THOMAS PELLETTE	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	KYLE EPLEY	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	STEVEN M FERGUSON	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
ASSISTANT TREASURER	CHAD WITHERS	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	WAI MAN CHAN	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
GROUP PRESIDENT	JOSEPH CREED	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA

GROUP PRESIDENT	ANTHONY FASSINO	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	OTTO BREITSCHWERDT	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	MARC CAMERON	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	BRIAN EDWARDS	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	JAMIE ENGSTROM	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	JASON KAISER	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	RODNEY SHURMAN	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CHIEF COMPLIANCE OFFICER	ERIC BRAUN	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CORPORATE CONTROLLER	KYLE EPLEY	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CHIEF HUMAN RESOURCES OFFICER	CHERYL JOHNSON	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CHIEF AUDIT OFFICER	MATTHEW JONES	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CHEIF LEGAL OFFICER	SUZETTE LONG	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CORPORATE SECRETARY	NICOLE PUZA	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	MARTIN HAYCRAFT	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
ASSISTANT SECRETARY	JENNIFER SCHOTT	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
VICE PRESIDENT	ROBERT HOENES	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
CHIEF ACCOUNTING OFFICER	MIKE MARVEL	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	JUAN GALLARDO	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	WILLIAM OSBORN	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	EDWARD RUST JR.	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	DANIEL DICKINSON	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	SUSAN SCHWAB	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	RAYFORD WILKINS JR.	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	MILES WHITE	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	DONALD J. UMPLEBY	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA
DIRECTOR	KELLY AYOTTE	510 LAKE COOK ROAD, STE. 100 DEERFIELD, IL 60015 USA

**8. Shares Authorized and Issued**

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

**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 22 Day of February, 2021 at 5:52:30 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 JONI FUNK  
Signature of Authorized Representative of the Corporation

Form No. 630  
Revised 09/07

© 2007 - 2021 State of Rhode Island  
All Rights Reserved