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GENERAL DISCLOSURES		
Disclosure Number	Disclosure Title	2018 Response
<b>Organizational Profile</b>		
102-1	Name of the organization	Caterpillar Inc.
102-2	Activities, brands, products, and services	2018 Form 10-K p. 1-3
102-3	Location of headquarters	Deerfield, Illinois, USA
102-4	Location of operations	2018 Form 10-K p. 18-20
102-5	Ownership and legal form	Publicly traded company
102-6	Markets served	2018 Form 10-K p. 1-3
102-7	Scale of the organization	2018 Form 10-K p.7; 2019 Annual Report p. 4-5
102-8	Information on employees and other workers	2018 Form 10-K p.7
102-9	Supply chain	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Value Chain</a> 2018 Form 10-K p.6
102-10	Significant changes to the organization and its supply chain	2018 Form 10-K p. 147-149
102-11	Precautionary Principle or approach	Caterpillar regularly identifies and monitors business risks through a robust internal management system. See also 2018 Form 10-K p. 8-17
102-12	External initiatives	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Stakeholder Engagement</a>
102-13	Membership of associations	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Stakeholder Engagement</a>
<b>Strategy</b>		
102-14	Statement from senior decision-maker	2018 Sustainability Progress Report – <a href="#">CEO Message</a>
<b>Ethics and Integrity</b>		
102-16	Values, principles, standards and norms of behavior	2018 Environmental, Social and Governance Priorities & Approach – Governance & Policy – <a href="#">Corporate Governance</a> ; <a href="#">Code of Conduct – Our Values in Action</a>
<b>Governance</b>		
102-18	Governance structure	2019 Proxy Statement p. 8, 10-13
<b>Stakeholder Engagement</b>		
102-40	List of stakeholder groups	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Stakeholder Engagement</a>
102-41	Collective bargaining agreements	2018 Environmental, Social and Governance Priorities & Approach – People – <a href="#">Collective Bargaining</a>
102-42	Identifying and selecting stakeholders	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Stakeholder Engagement</a>
102-43	Approach to stakeholder engagement	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Stakeholder Engagement</a>
102-44	Key topics and concerns raised	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Focus Areas</a>

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Disclosure Number	Disclosure Title	2018 Response
<b>Organizational Profile</b>		
<b>Reporting Practice</b>		
102-45	Entities included in the consolidated financial statements	2018 Form 10-K, Exhibit 21 – List of Subsidiaries and Affiliated Companies
102-46	Defining report content and topic Boundaries	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Focus Areas</a>
102-47	List of material topics	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Focus Areas</a>
102-48	Restatements of information	2018 Environmental, Social and Governance Priorities & Approach – <a href="#">Endnotes</a>
102-49	Changes in reporting	There have been no material changes from the previous reporting period in the list of Material Topics and Topic Boundaries.
102-50	Reporting period	The reporting period is the 2018 calendar year, which is also Caterpillar's fiscal year.
102-51	Date of most recent report	2017
102-52	Reporting cycle	Annual
102-53	Contact point for questions regarding the report	<a href="http://www.caterpillar.com/en/contact.html">http://www.caterpillar.com/en/contact.html</a>
102-54	Claims of reporting in accordance with the GRI Standards	This report has been prepared in accordance with Global Reporting Initiative (GRI) Standards: Core option.
102-55	GRI content index	GRI Index
102-56	External assurance	ERM Certification and Verification Services (ERM CVS) has conducted independent assurance of selected 2018 environmental and safety data. To understand the scope, activities and conclusions of the assurance process, please see the <a href="#">ERM CVS Assurance Statement</a> .
<b>Economic Performance</b>		
103-1	Explanation of the material topic and its Boundary	2018 Annual Report – <a href="#">CEO Message</a> ; 2018 Form 10-K p. 1-5
103-2	The management approach and its components	2018 Annual Report – <a href="#">CEO Message</a>
103-3	Evaluation of the management approach	2018 Annual Report – <a href="#">CEO Message</a>
201-1	Direct economic value generated and distributed	2018 Annual Report p. 4-5
<b>GRI 204: Procurement Practices</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Value Chain</a> ; 2018 Form 10-K p.6
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Value Chain</a> ; 2018 Form 10-K p.6
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Value Chain</a> ; 2018 Form 10-K p.6
204-1	Proportion of spending on local suppliers	Caterpillar has 28,000 suppliers. For a more detailed description of sourcing, please see 2018 Form 10-K, page 6.

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Disclosure Number	Disclosure Title	2018 Response
<b>Organizational Profile</b>		
<b>GRI 205: Anti-corruption</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach, Governance & Policy – <a href="#">Corporate Governance</a> ; <a href="#">Code of Conduct – Our Values in Action</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach, Governance & Policy – <a href="#">Corporate Governance</a> ; <a href="#">Code of Conduct – Our Values in Action</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach, Governance & Policy – <a href="#">Corporate Governance</a> ; <a href="#">Code of Conduct – Our Values in Action</a>
205-1	Operations assessed for risks related to corruption	2019 Form 10-K p. 16
<b>GRI 302: Energy</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
302-1	Energy consumption within the organization	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
302-3	Energy intensity	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
<b>GRI 303: Water</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Water Management</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Water Management</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Water Management</a>
303-1	Water withdrawal by source	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Water Management</a>

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Disclosure Number	Disclosure Title	2018 Response
<b>Organizational Profile</b>		
<b>GRI 305: Emissions</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
305-1	Direct (Scope 1) GHG emissions	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
305-2	Energy indirect (Scope 2) GHG emissions	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
305-4	GHG emissions intensity	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Energy Conservation &amp; GHG Emissions Reduction</a>
<b>GRI 306: Effluents and Waste</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Waste Minimization</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Waste Minimization</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">EHS Management</a> – <a href="#">Waste Minimization</a>
306-2	Waste by type and disposal method	2018 Environmental, Social and Governance Priorities & Approach – Operational Impact – <a href="#">Waste Minimization</a>
<b>GRI 403: Occupational Health and Safety</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Caterpillar People – <a href="#">Safety</a> – <a href="#">EHS Management</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Caterpillar People – <a href="#">Safety</a> – <a href="#">EHS Management</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Caterpillar People – <a href="#">Safety</a> – <a href="#">EHS Management</a>
403-2	Types of injury and rates of injury, occupational diseases, lost days, and absenteeism, and number of work-related fatalities	2018 Environmental, Social and Governance Priorities & Approach – Caterpillar People – <a href="#">Safety</a>

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Disclosure Number	Disclosure Title	2018 Response
<b>Organizational Profile</b>		
<b>GRI 412: Human Rights Assessment</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Governance & Policy – <a href="#">Human Rights</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Governance & Policy – <a href="#">Human Rights</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Governance & Policy – <a href="#">Human Rights</a>
412-2	Employee training on human rights policies or procedures	2018 Environmental, Social and Governance Priorities & Approach – Governance & Policy – <a href="#">Corporate Governance</a>
<b>GRI 415: Public Policy</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Governance & Policy – <a href="#">Public Policy</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Governance & Policy – <a href="#">Public Policy</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Governance & Policy – <a href="#">Public Policy</a>
415-1	Political contributions	<a href="#">Caterpillar Corporate Website – Governance – Political Engagement</a>
<b>GRI 416: Customer Health and Safety</b>		
103-1	Explanation of the material topic and its Boundary	2018 Environmental, Social and Governance Priorities & Approach – Product Stewardship – <a href="#">Customer Safety</a>
103-2	The management approach and its components	2018 Environmental, Social and Governance Priorities & Approach – Product Stewardship – <a href="#">Customer Safety</a>
103-3	Evaluation of the management approach	2018 Environmental, Social and Governance Priorities & Approach – Product Stewardship – <a href="#">Customer Safety</a>
416-1	Assessment of the health and safety impacts of product and service categories	2018 Environmental, Social and Governance Priorities & Approach – Product Stewardship – <a href="#">Customer Safety</a> – <a href="#">Innovation Management</a>