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GENERAL DISCLOSURES

Disclosure Number	Disclosure Title	2018 Response
Organizational Profile		
102-1	Name of the organization	Caterpillar Inc.
102-2	Activities, brands, products, and services	Sustainability Report – Caterpillar At-A-Glance
102-3	Location of headquarters	Deerfield, Illinois, USA
102-4	Location of operations	Form 10-K p.21
102-5	Ownership and legal form	Publicly traded company
102-6	Markets served	Form 10-K p.1
102-7	Scale of the organization	Sustainability Report – Caterpillar At-A-Glance
102-8	Information on employees and other workers	Form 10-K p.7
102-9	Supply chain	Appendix – Value Chain Form 10-K p.6
102-10	Significant changes to the organization and its supply chain	Form 10-K p. 153-154
102-11	Precautionary Principle or approach	Caterpillar regularly identifies and monitors business risks through a robust internal management system. Form 10-K p. 9-18
102-12	External initiatives	Appendix – Sustainability at Caterpillar – Affiliations and Investments
102-13	Membership of associations	Appendix – Sustainability at Caterpillar – Affiliations and Investments
Strategy		
102-14	Statement from senior decision-maker	Sustainability Report – CEO Letter
Ethics and integrity		
102-16	Values, principles, standards and norms of behavior	Appendix – Governance & Ethics Caterpillar's Code of Conduct – Our Values in Action
Governance		
102-18	Governance structure	2018 Proxy Statement p. 16-17
Stakeholder engagement		
102-40	List of stakeholder groups	Appendix – Sustainability at Caterpillar – Stakeholder Engagement
102-41	Collective bargaining agreements	Appendix – Caterpillar People – Collective Bargaining
102-42	Identifying and selecting stakeholders	Appendix – Sustainability at Caterpillar – Stakeholder Engagement
102-43	Approach to stakeholder engagement	Appendix – Sustainability at Caterpillar – Stakeholder Engagement
102-44	Key topics and concerns raised	Appendix – Sustainability at Caterpillar – Stakeholder Engagement

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Reporting practice		
102-45	Entities included in the consolidated financial statements	Form 10-K p. 1-5
102-46	Defining report content and topic Boundaries	Appendix – Sustainability at Caterpillar – Focus Areas
102-47	List of material topics	Appendix – Sustainability at Caterpillar – Focus Areas
102-48	Restatements of information	All restatements have been noted on page 24.
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 2017 calendar year, which is also Caterpillar’s fiscal year.
102-51	Date of most recent report	2016
102-52	Reporting cycle	Annual
102-53	Contact point for questions regarding the report	http://www.caterpillar.com/en/contact.html
102-54	Claims of reporting in accordance with the GRI Standards	This report has been prepared in accordance with Global Reporting Initiative (GRI) Standards at the Core application level.
102-55	GRI content index	This document is organized by GRI Indicators and serves as our GRI Content Index.
102-56	External assurance	ERM Certification and Verification Services (ERM CVS) has conducted independent assurance of selected 2017 environmental and safety data. To understand the scope, activities and conclusions of the assurance process, please see the ERM CVS Assurance Statement .
Economic Performance		
103-1	Explanation of the material topic and its Boundary	Form 10-K p. 1-9
103-2	The management approach and its components	Form 10-K p. 1-9
103-3	Evaluation of the management approach	Form 10-K p. 1-9
201-1	Direct economic value generated and distributed	Form 10-K p. 25
GRI 204: Procurement Practices		
103-1	Explanation of the material topic and its Boundary	Appendix – Value Chain
103-2	The management approach and its components	Appendix – Value Chain
103-3	Evaluation of the management approach	Appendix – Value Chain
204-1	Proportion of spending on local suppliers	Caterpillar Inc. Overview
GRI 205: Anti-corruption		
103-1	Explanation of the material topic and its Boundary	Appendix – Governance & Ethics
103-2	The management approach and its components	Appendix – Governance & Ethics
103-3	Evaluation of the management approach	Appendix – Governance & Ethics
205-1	Operations assessed for risks related to corruption	Form 10-K p. 16

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Organizational Profile		
GRI 302: Energy		
103-1	Explanation of the material topic and its Boundary	Appendix – Operational Impact – EHS Management Energy Conservation & GHG Emissions Reduction Appendix – Operational Impact – Alternative & Renewable Energy
103-2	The management approach and its components	Appendix – Operational Impact – EHS Management Energy Conservation & GHG Emissions Reduction Appendix – Operational Impact – Alternative & Renewable Energy
103-3	Evaluation of the management approach	Appendix – Operational Impact – EHS Management Energy Conservation & GHG Emissions Reduction Appendix – Operational Impact – Alternative & Renewable Energy
302-1	Energy consumption within the organization	Sustainability Report – Goals & Progress
302-3	Energy intensity	Sustainability Report – Goals & Progress
GRI 303: Water		
103-1	Explanation of the material topic and its Boundary	Appendix – Operational Impact – Water Management
103-2	The management approach and its components	Appendix – Operational Impact – Water Management
103-3	Evaluation of the management approach	Appendix – Operational Impact – Water Management
303-1	Water withdrawal by source	Sustainability Report – Goals & Progress
GRI 305: Emissions		
103-1	Explanation of the material topic and its Boundary	Appendix – Operational Impact – EHS Management Energy Conservation & GHG Emissions Reduction Appendix – Operational Impact – Alternative & Renewable Energy
103-2	The management approach and its components	Appendix – Operational Impact – EHS Management Energy Conservation & GHG Emissions Reduction Appendix – Operational Impact – Alternative & Renewable Energy
103-3	Evaluation of the management approach	Appendix – Operational Impact – EHS Management Energy Conservation & GHG Emissions Reduction Appendix – Operational Impact – Alternative & Renewable Energy
305-1	Direct (Scope 1) GHG emissions	Sustainability Report – Goals & Progress
305-2	Energy indirect (Scope 2) GHG emissions	Sustainability Report – Goals & Progress
305-4	GHG emissions intensity	Sustainability Report – Goals & Progress
GRI 306: Effluents and Waste		
103-1	Explanation of the material topic and its Boundary	Appendix – Operational Impact – Waste Minimization
103-2	The management approach and its components	Appendix – Operational Impact – Waste Minimization
103-3	Evaluation of the management approach	Appendix – Operational Impact – Waste Minimization
306-2	Waste by type and disposal method	Sustainability Report – Goals & Progress
GRI 403: Occupational Health and Safety		
103-1	Explanation of the material topic and its Boundary	Appendix – Caterpillar People – Safety
103-2	The management approach and its components	Appendix – Caterpillar People – Safety
103-3	Evaluation of the management approach	Appendix – Caterpillar People – Safety
403-2	Types of injury and rates of injury, occupational diseases, lost days, and absenteeism, and number of work-related fatalities	Sustainability Report – Goals & Progress

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Organizational Profile		
GRI 412: Human Rights Assessment		
103-1	Explanation of the material topic and its Boundary	Appendix – Governance & Ethics – Human Rights
103-2	The management approach and its components	Appendix – Governance & Ethics – Human Rights
103-3	Evaluation of the management approach	Appendix – Governance & Ethics – Human Rights
412-2	Employee training on human rights policies or procedures	Appendix – Governance & Ethics – Human Rights
GRI 415: Public Policy		
103-1	Explanation of the material topic and its Boundary	Appendix – Governance & Ethics – Public Policy
103-2	The management approach and its components	Appendix – Governance & Ethics – Public Policy
103-3	Evaluation of the management approach	Appendix – Governance & Ethics – Public Policy
415-1	Political contributions	Political Contributions
GRI 416: Customer Health and Safety		
103-1	Explanation of the material topic and its Boundary	Appendix – Product Stewardship – Customer Safety
103-2	The management approach and its components	Appendix – Product Stewardship – Customer Safety
103-3	Evaluation of the management approach	Appendix – Product Stewardship – Customer Safety
416-1	Assessment of the health and safety impacts of product and service categories	Appendix – Product Stewardship – Innovation Management Appendix – Product Stewardship – Customer Safety