### Edgar Filing: CATERPILLAR INC - Form 4

Form 4	INC										
March 08, 2017											
FORM 4	UNITED	статес	SECU	DITIES /		CUANCE	COMMISSIO		PPROVA	L	
Washington, D.C. 20549									3235-0		
Check this box if no longer						Expires:	Januar	y 31, 2005			
subject to Section 16. Form 4 or				RITIES		WNERSHIP OF	Estimated burden hou response	d average Iours per			
Form 5 obligations may continue. See Instruction 1(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940											
(Print or Type Respo	onses)										
1. Name and Addres Johnson Denise	Symbol	er Name <b>an</b>			5. Relationship of Reporting Person(s) to Issuer						
<b>.</b>			RPILLAR	-	-	(Check all applicable)					
(Last) (First) (Middle) 100 N.E. ADAMS STREET			3. Date of Earliest Transaction (Month/Day/Year) 03/06/2017				Director 10% Owner X_ Officer (give title Other (specify below) Group President				
			4. If Amendment, Date Original Filed(Month/Day/Year)			<ul> <li>6. Individual or Joint/Group Filing(Check Applicable Line)</li> <li>_X_Form filed by One Reporting Person</li> </ul>					
PEORIA, IL 616	529						Form filed by Person	More than One R	eporting		
(City)	(State)	(Zip)	Tab	le I - Non-l	Derivative	Securities A	cquired, Disposed	of, or Beneficia	lly Owned	l	
	ansaction Date nth/Day/Year)	2A. Deemo Execution any (Month/Da	Date, if	3. Transactio Code (Instr. 8)	Disposed (Instr. 3,	(A) or l of (D) 4 and 5) (A) or	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature Indirect Beneficia Ownershi (Instr. 4)	1	
				Code V		(D) Price					
Reminder: Report or	n a separate line	for each cl	ass of sec	urities bene	-	-	-	ation of a			
					inforı requi	nation cont red to respo ays a curre	spond to the colle ained in this form ond unless the fo ntly valid OMB co	n are not rm	SEC 1474 (9-02)		

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orDerivative	Expiration Date	Underlying Securities
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8		Acquired (A Disposed of (Instr. 3, 4, 5)	f (D)				
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Employee Stock Option	\$ 95.66	03/06/2017		А		103,489		(1)	03/06/2027	Common Stock	103,48

### **Reporting Owners**

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
Johnson Denise C 100 N.E. ADAMS STREET PEORIA, IL 61629			Group President					
Signatures								
By: D.C. Johnson; G. Acker, POA		03/08/2017						
**Signature of Reporting Person		Date						

## **Explanation of Responses:**

\* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) The stock options were granted pursuant to the Caterpillar Inc. 2014 Long-Term Incentive Plan and vest equally in 1/3 increments beginning on the first anniversary of the grant date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.