

CATERPILLAR INC

Form 3

January 08, 2015

**FORM 3****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

OMB  
Number: 3235-0104Expires: January 31,  
2005Estimated average  
burden hours per  
response... 0.5**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF  
SECURITIES**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 Responses)

1. Name and Address of Reporting  
Person \*

Â Pellette Thomas A

(Last) (First) (Middle)

100 N.E. ADAMS STREET

(Street)

PEORIA,Â ILÂ 61629

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

01/01/2015

3. Issuer Name **and** Ticker or Trading Symbol  
CATERPILLAR INC [CAT]4. Relationship of Reporting  
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Group President

5. If Amendment, Date Original  
Filed(Month/Day/Year)

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting  
Person☐ Form filed by More than One  
Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities  
Beneficially Owned  
(Instr. 4)3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock

9,102

D Â

Reminder: Report on a separate line for each class of securities beneficially  
owned directly or indirectly.

SEC 1473 (7-02)

**Persons who respond to the collection of  
information contained in this form are not  
required to respond unless the form displays a  
currently valid OMB control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security  
(Instr. 4)2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)Date  
ExercisableExpiration  
Date3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

Title

Amount or  
Number of4. Conversion  
or Exercise  
Price of  
Derivative  
Security5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)  
or Indirect6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Employee Stock Option	03/03/2017	03/03/2024	Common Stock	28,220	\$ 96.31	D	Â
Employee Stock Option	03/04/2016	03/04/2023	Common Stock	20,569	\$ 89.75	D	Â
Employee Stock Option	03/04/2015	03/04/2022	Common Stock	4,456	\$ 110.09	D	Â
Stock Appreciation Right	03/07/2014	03/07/2021	Common Stock	3,842	\$ 102.13	D	Â
Stock Appreciation Right	03/01/2013	03/01/2020	Common Stock	5,060	\$ 57.85	D	Â
Stock Appreciation Right	03/03/2011	03/03/2018	Common Stock	2,458	\$ 73.2	D	Â
Stock Appreciation Right	03/02/2010	03/02/2017	Common Stock	2,290	\$ 63.04	D	Â
Phantom Stock Units	Â <sup>(1)</sup>	Â <sup>(1)</sup>	Common Stock	400	\$ <sup>(2)</sup>	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Pellette Thomas A 100 N.E. ADAMS STREET PEORIA, IL 61629	Â	Â	Â Group President	Â

## Signatures

T. A. Pellette; S.R.  
Underwood, POA

01/08/2015

                    Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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 phantom stock units were acquired under the Caterpillar Inc. Supplemental Deferred Compensation Plan and are to be settled 100% in cash upon the reporting person's retirement or separation from service.
- (2) Each phantom stock unit is the economic equivalent of one share of Caterpillar Inc. common stock.

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.