Edgar Filing: CATERPILLAR INC - Form 4

Form 4	C						
January 05, 2016							
FORM 4					OMB A	PPROVAL	
L. L	JNITED STATE		S AND EXCHANG ton, D.C. 20549	E COMMISSION	OMB Number:	3235-0287	
Check this box if no longer					Expires:	January 31, 2005	
subject to Section 16. Form 4 or Form 5		SEC	IN BENEFICIAL O	Estimated average burden hours per response (
abligations	ection 17(a) of the	e Public Utility I	f the Securities Excha Holding Company Ac ent Company Act of	t of 1935 or Section	n		
(Print or Type Responses	s)						
1. Name and Address of BUDA JAMES B	f Reporting Person <u>*</u>	Symbol	and Ticker or Trading AR INC [CAT]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (First	st) (Middle)	3. Date of Earlie	(Chee	ex an applicable)			
100 N.E. ADAMS	STREET	(Month/Day/Yea 12/31/2015	ır)	Director 10% Owner X Officer (give title Other (specify below) below) Executive Vice President			
(Stre		4. If Amendmen Filed(Month/Day/	-	 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 			
PEORIA, IL 61629				Person			
(City) (Stat	te) (Zip)	Table I - No	on-Derivative Securities	Acquired, Disposed of	, or Beneficia	lly Owned	
	action Date 2A. Dee Day/Year) Executio any (Month/		4. Securities ctionAcquired (A) or Disposed of (D) 8) (Instr. 3, 4 and 5) (A) or	SecuritiesFBeneficially(1)Owned(2)Following(1)ReportedTransaction(s)	. Ownership Form: Direct D) or Indirect I) Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			V Amount (D) Price				
Keminder: Report on a s	eparate line for each	class of securities b	information con required to resp	or indirectly. espond to the collec ntained in this form bond unless the form ently valid OMB con	are not n	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	6. Date Exercisable and	7. Title and Amount of	8. Price
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	onof	Expiration Date	Underlying Securities	Derivativ
Security	or Exercise		any	Code	Derivative	(Month/Day/Year)	(Instr. 3 and 4)	Security

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(Instr. 3)	Price of Derivative Security	(Mon	nth/Day/Year)	(Instr. 3	8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			(Instr. 5)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	<u>(1)</u>	12/31/2015		A		102 (2)		(3)	(3)	Common Stock	102	\$ 67.9

Reporting Owners

Reporting Owner Name / Address			Relationships			
	Director	10% Owner	Officer	Other		
BUDA JAMES B 100 N.E. ADAMS STREET PEORIA, IL 61629			Executive Vice President			
Signatures						
James B. Buda; G. Acker, POA	01/	/05/2016				
**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) Each phatom stock unit is the economic equivalent of one share of Caterpillar Inc. common stock.

This total includes 68 shares that were credited to the reporting person's account under the Caterpillar Inc. Supplemental Deferred(2) Compensation Plan (the "Plan") at a price per share of \$67.96 and 34 shares that were contributed to the reporting person's account pursuant to the terms of the Plan for no consideration.

(3) The phantom stock units were acquired under the Plan and are to be settled 100% in cash upon the reporting person's retirement or separation from service.

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.