Edgar Filing: CATERPILLAR INC - Form 4

April 04, 2016 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Check this box if no longer subject to Section 16. Form 4 or Form 5 or Section 17(a) of the Public Utility Holding Company Act of 1934, 0(b) of the Investment Company Act of 1940 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person 1. (Law) (First) (Middle) WHITE MILES D (Iaw) (First) (Middle) (Street) 4. If Amendment, Date Original Filed Month/Day/Year) 5. Relationship of Reporting Person(s) to Issuer (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquiring Market Date Original Filed Month/Day/Year) A. (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquiries (Acquiring Market Date Original Filed Month/Day/Year) A. (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquiries (Acquiries) S. (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquiries (Acquiries) S. (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquiries (Acquiries) S. (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquiries (Acquiries) S. (City) (State) (Zip) Table 1 - Non-Derivative Securities (Acquiries) S. (City) (State) (Zip) Table 1 - Non-Derivative Securities (Acquiries) S. (City) (State) (Zip) Table 1 - Non-Derivative Securities (Acquiries) S. (City) (State) (Zip) Table 1 - Non-Derivative Securities (Acquiries) S. (City) (State) (Zip) Table 1 - Non-Derivative Securities (Acquiries) S. (City) (State) (Zip) Table 2. (City) (State) (Zip) (City) (Instr. 8) (Instr. 3) (Instr. 4) (Instr. 4) (Instr. 4) (Acquiries) S. (City) (State) (Zip) (City) (City	CATERPILLAR INC									
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			Code V	Amount	(D) Price	(Instr. 3 and 4)				
	Reminder: Report on a separate line	for each class of	securities bene	ficially ow	ned directly of	or indirectly.				
Persons who respond to the collection of SEC 1474				-	-	-	ction of	SEC 1474		
information contained in this form are not (9-02)								(9-02)		
required to respond unless the form displays a currently valid OMB control										
number.										

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	Transactio	onof	Expiration Date	Underlying Securities	Derivativ
Security	or Exercise		any	Code	Derivative	(Month/Day/Year)	(Instr. 3 and 4)	Security
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Securities			(Instr. 5)

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	Derivative Security				Acquir (A) or Dispos of (D) (Instr. and 5)	r osed) . 3, 4,					
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	<u>(1)</u>	03/31/2016	А		554 (2)		(3)	(3)	Common Stock	554	\$ 76.6

Reporting Owners

Reporting Owner Name / Address		Relationsh		
toporting officer rando fradeos	Director	10% Owner	Officer	Other
WHITE MILES D 100 N.E. ADAMS STREET PEORIA, IL 61629	Х			
Signatures				
Miles D. White; G. Acker, POA	04	/04/2016		
<u>**</u> 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 phantom stock unit is the economic equivalent of one share of Caterpillar Inc. common stock.
- (2) Phantom stock units awarded or acquired in lieu of director cash compensation.
- (3) The phantom stock units were acquired under the Caterpillar Inc. Director's Deferred Compensation Plan and are to be settled 100% in cash upon the reporting person's retirement or separation from service.
- (4) Includes adjustments for dividends accrued.

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.