Edgar Filing: SCHWAB SUSAN C - Form 4

Form 4											
March 06, 2019 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMIS Washington, D.C. 20549 Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1 Section 17(a) of the Public Utility Holding Company Act of 1935 or 3 30(h) of the Investment Company Act of 1940						/ NERSHIP OF ge Act of 1934, of 1935 or Sectio	Number:3235-0287Number:January 31Expires:2005Estimated averageburden hours perresponse0.5				
(Print or Type Re	esponses)										
(Last) (First) (Middle)			 Issuer Name and Ticker or Trading Symbol CATERPILLAR INC [CAT] Date of Earliest Transaction (Month/Day/Year) 03/04/2019 				ing	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X_Director10% Owner Officer (give titleOther (specify below)			
			ndment, Date Original nth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line)				
DEERFIELD	, IL 60015							_X_ Form filed by Form filed by I Person			
(City)	(State)	(Zip)	Table	e I - Non-I	Derivativ	e Secu	rities Ac	quired, Disposed o	of, or Beneficia	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Transaction Date 2A. Deemed onth/Day/Year) Execution Date, if any (Month/Day/Year)		Code (Instr. 8)	ransactionAcquired (A) or Code Disposed of (D)			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 of Indirect Beneficial Ownership (Instr. 4)	
Common Stock	03/04/2019			А	1,084	А	\$0	18,880 (1) (2)	D		

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

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 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Secur	unt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owna Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
SCHWAB SUSAN C 510 LAKE COOK ROAD, SUITE 100 DEERFIELD, IL 60015	Х						
Signatures							
By: /s/ Barbara Thomas, POA for Susan Schwab	C.	03/06/2019					
<u>**</u> Signature of Reporting Person		D	ate				

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) Reflects adjustment for dividends accrued.
- (2) Reflects adjustment for clerical error to total shares of common stock of the Issuer previously reported as beneficially owned by Reporting Person.

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.