## A Global Strategic Player

For more than 85 years, Caterpillar Inc. has been making sustainable progress possible and driving positive change on every continent. With 2012 sales and revenues of $65.875 billion, Caterpillar is the world's leading manufacturer of construction and mining equipment, diesel and natural gas engines, industrial gas turbines and diesel-electric locomotives. The company also is a leading services provider through Caterpillar Financial Services, Caterpillar Remanufacturing Services and Progress Rail Services.

## Stock Performance

| CAT (Common Stock) | |
|---|---|
| Exchange | NYSE (US Dollar) |
| Price | **$75.81** |
| Change (%) | ▲ 1.58 (2.13%) |
| Volume | 4,670,345 |
| 52 Week Low | $56.36 |
| Market Cap | $44,264,824,167 |
| Rolling EPS | 4.39 |
| PE Ratio | 17.2688 |
| Shares Outstanding | 583,891,626 |

Data as of 06/30/16 4:01 p.m. ET

## Recent Headlines & Events

06/10/16 - 9:00 a.m.
Caterpillar to Participate in the Citi 2016 Industrials Conference on June 14; Webcast Available

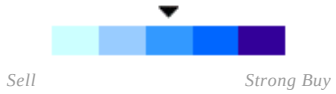
06/08/16 - 12:31 p.m.
Caterpillar Inc. Maintains Dividend Rate

05/11/16 - 12:01 p.m.
Caterpillar CEO Leads Company Delegation to Cuba

| Date | Title |
|---|---|
| 07/26/16 | **Second Quarter 2016 Results Release** |
| 10/25/16 | **Third Quarter 2016 Results Release** |

## Analyst Estimates / Ratings

Mean Recommendation: **3.0**




| EPS Trend | | Current | 30 Days Ago | 90 Days Ago |
|---|---|---|---|---|
| QTR | Jun 16 | 0.97 | 0.97 | 1.05 |
| QTR | Sep 16 | 0.91 | 0.92 | 0.88 |
| QTR | Dec 16 | 0.98 | 0.98 | 0.97 |
| QTR | Mar 17 | 0.73 | 0.74 | -0.38 |
| FY | Dec 16 | 3.53 | 3.54 | 3.60 |
| FY | Dec 17 | 3.56 | 3.56 | 3.48 |

## SEC Filings

| Filing Date | Form | |
|---|---|---|
| 06/28/16 | 11-K | |
| 06/28/16 | 11-K | |
| 06/28/16 | 11-K | |
| 06/28/16 | 11-K | |

## Ownership Summary

| Shareholders | Holders | Value ($MM) | % O/S | Shares |
|---|---|---|---|---|
| Institution | 1,461 | 31,330.29 | 70.2 | 409,766,648 |
| Mutual Fund | 1,593 | 14,996.54 | 34.4 | 200,636,894 |
| Insider * | 21 | .00 | 0.2 | 877,644 |

*Insider values reflect direct beneficial ownership.*

| Top Holders | Shares Held | % O/S | Share Change | Filing Date |
|---|---|---|---|---|
| State Street Global Advisors (US) | 57,006,504 | 9.8 | -578,070 | 03/31/16 |
| The Vanguard Group, Inc. | 34,572,045 | 5.9 | -2,227,481 | 03/31/16 |
| BlackRock Institutional Trust Company, N.A. | 24,882,856 | 4.3 | 3,421,829 | 03/31/16 |
| State Farm Insurance Companies | 21,017,733 | 3.6 | 220,600 | 03/31/16 |
| Capital Research Global Investors | 16,378,665 | 2.8 | 1,122,000 | 03/31/16 |
| Capital World Investors | 15,663,207 | 2.7 | -6,646,553 | 03/31/16 |
| Harris Associates L.P. | 15,144,200 | 2.6 | -1,955,372 | 03/31/16 |
| Wellington Management Company, LLP | 13,440,693 | 2.3 | -705,782 | 03/31/16 |
| Bill & Melinda Gates Foundation | 11,260,857 | 1.9 | 0 | 03/31/16 |
| Invesco Advisers, Inc. | 9,192,799 | 1.6 | 1,283,350 | 03/31/16 |

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