## Edgar Filing: De Lange Bob - Form 4

De Lange E Form 4	lob											
November 2	28, 2018											
FORM	ЛЛ	STATES	SECU	RITIES A	AND EX	CHAN	IGE	COMMISSI	ON	OMB A	PPROVA	
Check t if no lot subject Section Form 4 Form 5 obligati may con <i>See</i> Inst 1(b).	his box lger 16. or Filed pur ons ntinue. ruction	MENT OF rsuant to S (a) of the P	Wa CHAN ection	NGES IN SECUI	h, D.C. 20 BENEF RITIES he Securi Iding Con	<b>)549</b> T <b>CIAI</b> ties Ex npany	<b>COV</b> chan Act o	WNERSHIP C ge Act of 193 of 1935 or Sec	<b>)F</b> 4,	Number: Expires: Estimated burden hou response	Janua average urs per	-0287 ry 31, 2005 0.5
De Lange Bob Symbol				ssuer Name <b>and</b> Ticker or Trading ool YERPILLAR INC [CAT]			5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Month			(Month/	Date of Earliest Transaction onth/Day/Year) /26/2018			Director 10% Owner Officer (give title Other (specify below) below) Group President					
				ed(Month/Day/Year) Applicable Line) _X_ Form filed by			e) by Oi	oint/Group Filing(Check One Reporting Person More than One Reporting				
(City)	(State)	(Zip)	Tab	ole I - Non-J	Derivative	Securit	ies Ao	cquired, Dispose	d of,	or Beneficia	llv Owne	d
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deeme Execution I any (Month/Day	d Date, if	3. Transactic Code (Instr. 8)	4. Securit onAcquired Disposed	(A) or of (D) 4 and 5) (A) or		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Fo (D (I)	Ownership rm: Direct ) or Indirect	7. Nature Indirect	e of al iip
Reminder: Re	port on a separate line	e for each cla	ss of sec	urities bene	Perso	ons who	o res	r indirectly. pond to the col ained in this for			SEC 1474 (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.	6. Date Exercisable and	7. Title and Amount of	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	onNumber	Expiration Date	Underlying Securities	Derivative
Security	or Exercise		any	Code	of	(Month/Day/Year)	(Instr. 3 and 4)	Security

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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Securitie Acquired (A) or Disposed of (D) (Instr. 3,	Disposed				(Instr. 5)
			Code V	(A) (D	) Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	<u>(1)</u>	11/26/2018	A	60 (2)	<u>(3)</u>	(3)	Common Stock	60	\$ 124.8

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
De Lange Bob 510 LAKE COOK ROAD, SUITE 100 DEERFIELD, IL 60015			Group President				
Signatures							
/s/ Barbara Thomas, POA for Bob De Lange	11	1/28/2018					
**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 to one share of Caterpillar Inc. common stock.

This total includes 30 shares that were credited to the reporting person's account under the Supplemental Deferred Compensation Plan(2) (the "Plan") at a price per share of \$124.80 and 30 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 Caterpillar Inc. Supplemental Deferred Compensation Plan (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.