

CATERPILLAR GLOBAL DATA PRIVACY STATEMENT

Effective Date: May 25, 2018

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Appendix 1. Non-Human Resources Data Subjects EEA

This Appendix to the Caterpillar Global Data Privacy Statement provides additional information about how Caterpillar collects, stores, uses, transfers and otherwise processes personal information (including special categories of personal information) in or from certain countries in the European Economic Area (“**EEA**”). This Appendix is applicable to individuals who do not have an employee / human resources relationship with Caterpillar. For more information please see Caterpillar’s Global Data Privacy Statement. For more information on how Caterpillar collects and processes non-personal information, please see Caterpillar’s Global Data Governance Statement.

If you were referred to this EEA Appendix from an agreement you have with Caterpillar, then the data controller for the personal information that is being processed in connection with that agreement will be the legal entity referred to in that agreement. For the purpose of this EEA Appendix, the relevant controllers are listed in the [Schedule A \(List of Caterpillar Data Controllers / Legal Entities\)](#) of the Caterpillar’s Global Privacy Statement.

Section 1. What is the purpose of this appendix?

Caterpillar is committed to protecting the privacy and security of your personal information. This EEA Appendix describes how we collect, store, use, and transfer personal information about you during and after your relationship with us, in accordance with the General Data Protection Regulation (“**GDPR**”). As Data Controller, we are required under data protection legislation to notify you of the information contained in this EEA Appendix.

Section 2. What sensitive personal information could Caterpillar collect and process?

Sensitive personal information (also known as special categories of information) requires a higher level of protection. This is personal information which reveals or contains: racial or ethnic origin, political opinions, religious and philosophical beliefs, trade union membership, genetic data, biometric data, health data, sex life or sexual orientation.

We may collect, store and use the following, which may include or be considered “special categories” of information (as defined above):

- Background Information (e.g., marital status, dependent information, ethnicity and/or nationality, credit and criminal background checks, and drug and alcohol testing); and
- Biometric Information (e.g., thumbprints).

Section 3. Why does Caterpillar use your personal information?

We need all the categories of information collected primarily to allow us to manage our relationship with you in order to operate our business and to enable us to comply with our legal and regulatory obligations. In some cases, we may use your personal information to pursue legitimate interests of our own or those of third parties, provided your interests and fundamental rights do not override those interests.

The reasons for which we, or a contracted third party, will process your personal information are listed in [Table 1](#) below.

Some of those purposes for processing will overlap and there may be several purposes which justify our use of your personal information.

Table 1. Categories, Purpose, and Legal Bases of Processing: Non-Human Resources Data

Data Subjects	Categories of Personal Data	Purposes of Processing	Legal Basis for Processing
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Customers and Suppliers	<ul style="list-style-type: none"> • Contact Information (e.g., name, address, telephone number, company name) • Billing information (financial accounts data, invoices receipt, residence information) • Client relationship Management Information • Electronic identification information (e.g., email), system usage and preferences 	<ul style="list-style-type: none"> • Facilitate communications • Evaluation and potentially entering into a business relationship or contract, including potentially preparing bids (responses to bids) and other requests that relate to the potential business • To facilitate financial transactions and management; Audit • Fulfilling our compliance obligations (e.g., anti-money laundering, screening against sanctions lists) • Management of our IT systems and to provide services 	<ul style="list-style-type: none"> • Performance of a contract • Comply with legal requirements • Legitimate interest (to manage the relationship)
Customers	<ul style="list-style-type: none"> • Contact Information (e.g., name, address, telephone number, company name) • Billing information • Credit worthiness • Electronic identification information (e.g., email), system usage and preferences 	<ul style="list-style-type: none"> • Repair and Warranty Information • Conducting credit reference checks and financial due diligence • Performing customer satisfaction survey 	<ul style="list-style-type: none"> • Performance of a contract • Legitimate interest (to receive feedback on customers experiences)
Visitors to facilities	<ul style="list-style-type: none"> • Contact Information (e.g., name, address, telephone number, company name) • Image (photograph, video) 	<ul style="list-style-type: none"> • Prevention and detection of crime or other misconduct • Other security and risk management purposes 	<ul style="list-style-type: none"> • Comply with legal requirements • Legitimate interest (safety and security)
Subscribers to our newsletters or other marketing activities	<ul style="list-style-type: none"> • Contact Information (e.g., name, address, telephone number, company name) • Electronic identification information (e.g., email) and preferences 	<ul style="list-style-type: none"> • To inform you about our activities, sending you our newsletter, sending you our reports, share exciting new information about our products 	<ul style="list-style-type: none"> • Legitimate interest (communicating about related products or services) • Consent

Section 4. What are Caterpillar’s lawful bases for processing your personal information?

We will only use your personal information when the law allows us to. Most commonly, we will rely on one or more of the following bases for processing your personal information:

- Where it is necessary in order to comply with a legal or regulatory obligation.
- Where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests.
- Where it is necessary for the performance of a contract.

- We may also use your personal information in the following situations, which are likely to be rare:
- Where we need to protect your interests (or someone else's interests).
- Where it is needed in the public interest or for official purposes.
- Where we have obtained your prior consent (this is only used in relation to voluntary processing and is not used for processing that is necessary or obligatory).

The legal grounds we rely on to process your personal information are listed in [Table 1](#).

Section 5. What are special categories of personal information used for at Caterpillar?

We will use your special categories of personal information for the following purposes:

- Information related to biometric data, to identify or authenticate users and for access control purposes.
- Background check information, to evaluate and select individuals with whom Caterpillar is working.

We may process special categories of personal information (as defined above) because we have a lawful basis for doing so (as set out above) and because in limited circumstances, we have your explicit written consent. Less commonly, we may process this type of information where it is needed in relation to legal claims or where it is needed to protect your interests (or someone else's interests) and you are not capable of giving your consent, or where you have already made the information public. We may also process such information in the course of legitimate business activities with the appropriate safeguards.

Section 6. When is automated decision making used?

Caterpillar does not regularly and systematically perform automated decision making producing a legal effect concerning individuals or that would have a similarly significant effect. In the event that you are interacting with a Caterpillar company that is performing such automated decision making you should receive a specific notice that outlines the details of the automated decision making.

Under European data protection laws (and subject to the manner in which they and other laws and regulations apply to and must be complied with by Caterpillar), you have the right to object to automated decision making using your personal information.

Section 7. Does Caterpillar need your consent?

In limited circumstances, we may approach you for your written consent to allow us to process certain particularly sensitive data. If we do so, we will provide you with details of the information that we would like and the reason we need it, so that you can carefully consider whether you wish to consent. We also rely on consent in other situations as identified in [Table 1](#).

You should be aware that it is not a condition of your contract with us that you agree to any request for consent from us.

Section 8. What if you fail to provide your personal information?

If you fail to provide certain information when requested, we may not be able to perform the contract we have entered into with you (such as paying you or providing you with a product), or we may be prevented from complying with our legal or regulatory obligations.

Section 9. What if the purpose for which Caterpillar collected the personal information changes?

We will only use your personal information for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If we need to use your personal information for an unrelated purpose, we will notify you and we will explain the legal basis which allows us to do so.

Please note that we may process your personal information without your knowledge or consent, in compliance with the above rules, where this is required or permitted by law.

Section 10. Will Caterpillar share your personal information?

We may have to share your data with Third Parties (as defined below), including third-party service providers and Caterpillar.

We may transfer your personal information outside the European Union (“EU”). If we do, you can expect a similar degree of protection with respect to your personal information.

Section 11. Which Third Parties may process your personal information?

“Third Parties” includes third party service providers (including contractors, designated agents, insurers and insurance brokers) and other entities of Caterpillar. Examples include:

- Vendors, service providers, and other partners who support our business, such as providing technical infrastructure services;
- Law enforcement or other government agencies;
- Subsidiaries, affiliates and other entities controlled by Caterpillar;
- Other third-party service providers that process personal information on behalf of Caterpillar; and
- An acquiring entity (or an entity that is interested in acquiring) in the event that Caterpillar divests (or is considering divesting) a portion of its business.

Section 12. When might Caterpillar share your personal information within Caterpillar?

We will share your personal information within Caterpillar as part of our regular business and reporting activities, in the context of a business reorganization or group restructuring exercise, for system maintenance support, for hosting of data and for other legitimate business reasons.

Section 13. Why might Caterpillar share your personal information with Third Parties?

We will share your personal information with Third Parties for the following reasons:

- In order to comply with a legal or regulatory obligation, where such disclosure is required by a regulatory or supervisory authority, the police or a court of competent jurisdiction;
- Where it is necessary to administer the contract with or for you;
- For the purposes of auditing, insuring and in the course of seeking advice with regards to our business operations and claims handling; and
- Where we have another legitimate interest in doing so.

Section 14. When would Caterpillar transfer personal information outside of the EU?

The personal information that we collect about you may be transferred to, and stored at, one or more countries outside the European Economic Area (“EEA”). It may also be processed by staff operating outside the EEA who work for Caterpillar or for our third-party service providers. In such cases, we will take appropriate steps to ensure an adequate level of data protection of the recipient as required under the GDPR and as described in this document. If we cannot ensure such an adequate level of data protection, your personal data will only be transferred outside the EEA if you have given your prior consent to the transfer.

Section 15. What security measures are in place to protect personal information?

We have put in place appropriate security measures to protect the security of your personal information and provide the appropriate level of security for the risk, including measures designed to prevent your personal information from being accidentally lost, used or accessed in an unauthorized way, altered, or disclosed. Details of those measures are available on request. In addition, we limit access to your personal information to those employees, agents, contractors and other third parties who have a business need to know.

We have put in place procedures to deal with any suspected data security breach and will notify you and any applicable regulator of a suspected breach where we are legally required to do so.

Section 16. How long will Caterpillar retain personal information?

We will only retain your personal information for as long as necessary to fulfill the purposes for which it was collected, including for the purposes of satisfying any legal, regulatory, accounting, or reporting requirements. Details of retention periods for different aspects of your personal information are available in our data retention policy. To determine the appropriate retention period for personal information, we consider the amount, nature, and sensitivity of

the personal information, the potential risk of harm from unauthorized use or disclosure of your personal information, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements.

Section 17. What is your duty to inform Caterpillar of changes to your personal information?

It is important that the personal information we hold about you is accurate and current. Please contact your Caterpillar contact or email dataprivacy@cat.com for informing us of any necessary changes to your personal information that we possess.

Section 18. What are your rights related to your personal information?

Under certain circumstances, by law you have the right to:

- Request access to your personal information (commonly known as a “data subject access request”). This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it.
- Request correction of the personal information that we hold about you. This enables you to have any incomplete or inaccurate personal information we hold about you corrected.
- Request erasure of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal information where you have exercised your right to object to processing (see below).
- Object to processing of your personal information where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground. You also have the right to object where we are processing your personal information for direct marketing purposes.
- Request the restriction of processing of your personal information. This enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it.
- Request the transfer of your personal information to another party.
- Lodge a complaint with the applicable supervisory authority with regard to our processing of your personal information.

If you want to exercise your right(s) as reflected above, you may do so by using one of the following methods:

Online: [EU Individual Rights Request Form](#)

Email: dataprivacy@cat.com

Telephone: +1 (800) 806-6832 or +1 309-494-3282(DATA)

If submitting by email; please be sure to include what right(s) you are seeking to invoke and provide what data or information your request is concerning so that your request can be properly and timely addressed.

You will not have to pay a fee to access your personal information (or to exercise any of the other rights). However, we may charge a reasonable fee if your request for access is clearly unfounded or excessive. Alternatively, we may refuse to comply with the request in such circumstances.

Section 19. What might Caterpillar need from you?

We may need to request specific information from you to help us confirm your identity and ensure your right to access the personal information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal information is not disclosed to any person who has no right to receive it.

Section 20. What is your right to withdraw consent?

In the circumstances where you may have provided your consent to the collection, processing and transfer of your personal information for a specific purpose, you have the right to withdraw your consent for that specific processing at any time. To withdraw your consent, please contact dataprivacy@cat.com or use any unsubscribe options we may provide you in the context of our processing activities. Once we have received notification that you have withdrawn your consent, we will no longer process your personal information for the purpose or purposes you originally agreed to, and unless we have another lawful basis for continuing to process your personal information, we will dispose of it securely.

Section 21. What if there are changes to this document?

We reserve the right to update this Global Privacy Statement and this appendix at any time, and we will provide you with updated documents when we make any substantial updates. We may also notify you in other ways from time to time about the processing of your personal information.

[END Appendix 1. Non-Human Resources Data Subjects EEA]

Appendix 2. Human Resources Data Subjects EEA

This Appendix to the Caterpillar Global Data Privacy Statement provides additional information about how Caterpillar collects, stores, uses, transfers and otherwise processes personal information (including special categories of personal information) in or from certain countries in the European Economic Area (“**EEA**”). This Appendix is applicable to individuals who have an employee / human resources relationship with Caterpillar. For more information, please see Caterpillar’s Global Privacy Statement.

If you were referred to this EEA Appendix from an agreement you have with Caterpillar, then the data controller for the personal information that is being processed in connection with that agreement will be the legal entity referred to in that agreement. For the purpose of this EEA Appendix, the relevant controllers are listed in the [Schedule A \(List of Caterpillar Data Controllers / Legal Entities\)](#) to Caterpillar’s Global Privacy Statement.

Section 1. What is the purpose of this appendix?

Caterpillar is committed to protecting the privacy and security of your personal information. This EEA Appendix describes how we collect, store, use, and transfer personal information about you during and after your relationship with us, in accordance with the General Data Protection Regulation (“**GDPR**”). As Data Controller, we are required under data protection legislation to notify you of the information contained in this EEA Appendix.

Section 2. What sensitive personal information could Caterpillar collect and process?

Sensitive personal information (also known as special categories of information) requires a higher level of protection. This is personal information which reveals or contains: racial or ethnic origin, political opinions, religious and philosophical beliefs, trade union membership, genetic data, biometric data, health data, sex life or sexual orientation.

We may collect, store and use the following, which may include or be considered “special categories” of information (as defined above):

- Health Information (e.g., prescription records, benefit claims, and the Explanation of Benefits sent in connection with claims) related to, among other things, physical or mental health, disability status, sickness absence, and family related leaves;
- Background Information (e.g., marital status, dependent information, ethnicity and/or nationality, credit and criminal background checks, and drug and alcohol testing);
- Biometric Information (e.g., thumbprints); and
- Trade Union affiliation.

Section 3. Why does Caterpillar use your personal information?

Personal information is vital to our management and administration of employment relationships. We need all the categories of personal information collected primarily to allow us to manage our relationship with you and to enable us to comply with our legal and regulatory obligations. In some cases, we may use your personal information to pursue legitimate interests of our own or those of third parties, provided your interests and fundamental rights do not override those interests.

The reasons for which we, or a contracted third party, will process your personal information are listed in [Table 1](#) below.

Some of those purposes for processing will overlap and there may be several purposes which justify our use of your personal information.

[Table 1. Categories, Purpose, and Legal Bases of Processing: Human Resources Data](#)

Categories of Personal Data	Purposes of Processing	Legal Basis for Processing
Contact Information (e.g., name, address, telephone number, emergency contact(s) information)	<ul style="list-style-type: none"> • Communicate with employees • Facilitate benefits • Maintain accountability of business records 	<ul style="list-style-type: none"> • Performance of a contract • Legitimate interest (to manage and communicate with the workforce)
Identification and verification information (including national/taxpayer identification numbers and work permit status)	<ul style="list-style-type: none"> • Meet compliance obligations • Enable physical or remote access to Caterpillar facilities or systems • Communicate with employees • Facilitate benefits 	<ul style="list-style-type: none"> • Performance of a contract • To comply with a legal obligation • Legitimate interest (to manage and communicate with the workforce)
Financial Account Information	<ul style="list-style-type: none"> • Communicate with employees • Facilitate salary and benefits 	<ul style="list-style-type: none"> • Performance of a contract • To comply with a legal obligation • Legitimate interest (to manage and communicate with the workforce)
Automotive Information (e.g., driving history, vehicle registration, driver's license number)	<ul style="list-style-type: none"> • Facilitate access to Caterpillar facilities (e.g., parking) • Manage company vehicles 	<ul style="list-style-type: none"> • Performance of a contract • Legitimate interest (to facilitate access and management of Caterpillar facilities and equipment)
Professional/Applicant Qualifications Information (e.g., work experience, education, reference information)	<ul style="list-style-type: none"> • Evaluate and select individuals for a role within Caterpillar 	<ul style="list-style-type: none"> • Legitimate interest (to manage the workforce)
General HR records	<ul style="list-style-type: none"> • Management purposes • Verification purposes, necessary as evidence in the event of any query/dispute and for the provision of references • Conduct analytics studies to review and better understand employee retention and attrition rates • Managing education, training and development 	<ul style="list-style-type: none"> • Performance of a contract • To comply with a legal obligation • Legitimate interest (to manage the workforce)
Employment-related Information (e.g., work history, performance appraisals, goals, attendance, work absences)	<ul style="list-style-type: none"> • Monitoring and evaluation of performance to support decisions (e.g., salary increases, incentives and promotion) 	<ul style="list-style-type: none"> • Legitimate interest (to manage the workforce)
Health & Safety (e.g., safety incidents)	<ul style="list-style-type: none"> • Manage health and safety at facilities 	<ul style="list-style-type: none"> • To comply with a legal obligation • To protect the vital interests • Legitimate interest (to maintain safety)
Personal data obtained from security, monitoring, or an investigation	<ul style="list-style-type: none"> • Prevention and detection of crime or other misconduct • Other security and risk management purposes 	<ul style="list-style-type: none"> • To comply with a legal obligation • To protect the vital interests • Legitimate interest (to manage the workforce and security)

Personal data processed on our IT systems	<ul style="list-style-type: none"> • For the conduct of the business 	<ul style="list-style-type: none"> • Performance of a contract • Legitimate interest (to manage business processes and systems)
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Section 4. What are Caterpillar’s lawful bases for processing your personal information?

We will only use your personal information when the law allows us to. Most commonly, we will rely on one or more of the following bases for processing your personal information:

- Where it is necessary for the performance of a contract we have entered into with you.
- Where it is necessary in order to comply with a legal or regulatory obligation.
- Where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests.

We may also use your personal information in the following situations, which are likely to be rare:

- Where we need to protect your interests (or someone else’s interests).
- Where it is needed in the public interest or for official purposes.
- Where we have obtained your prior consent (this is only used in relation to voluntary processing and is not used for processing that is necessary or obligatory).

We will rely on legitimate interests as the lawful basis for processing the categories of personal information set out below and, in each case we have identified the legitimate interest upon which we rely. (We also identify supplemental bases for processing certain categories of information where warranted.)

Section 5. What are special categories of personal information used for at Caterpillar?

We will use your special categories of personal information for the following purposes:

- Information relating to leaves of absence, which may include sickness absence or family related leaves, to comply with employment and other laws.
- Information about your physical or mental health, or disability status, to ensure your health and safety in the workplace and to assess your fitness to work, to provide appropriate workplace adjustments, to monitor and manage sickness absence and to administer benefits.
- Information related to trade union affiliation to facilitate dues collection, maintain contact lists, and perform other business-related activities.
- Information related to ethnicity and/or nationality, to comply with employment and other laws.
- Information related to biometric data, to identify or authenticate users and for access control purposes.
- Information related to employment-related background checks, to evaluate and select individuals for a role within Caterpillar.

We may process special categories of personal information (as defined above) because we have a lawful basis for doing so (as set out above) and because:

- In limited circumstances, we have your explicit written consent;
- We need to carry out obligations or exercise specific rights in the field of employment and social security law and in line with our Global Data Privacy Statement;
- Where it is needed in the public interest, such as for equal opportunities monitoring and in line with our Global Data Privacy Statement; or
- Where it is needed to assess your working capacity on health grounds, subject to appropriate confidentiality safeguards.

Less commonly, we may process this type of information where it is needed in relation to legal claims or where it is needed to protect your interests (or someone else’s interests) and you are not capable of giving your consent, or where you have already made the information public. We may also process such information in the course of legitimate business activities with the appropriate safeguards.

Section 6. When is automated decision making used?

Caterpillar does not regularly and systematically perform automated decision making producing a legal effect concerning individuals or that would have a similarly significant effect. In the event that you are interacting with a Caterpillar company that is performing such automated decision making you should receive a specific notice that outlines the details of the automated decision making.

Under European data protection laws (and subject to the manner in which they and other laws and regulations apply to and must be complied with by Caterpillar), you have the right to object to automated decision making using your personal information.

Section 7. Does Caterpillar need your consent?

In limited circumstances, we may approach you for your written consent to allow us to process certain particularly sensitive data. If we do so, we will provide you with details of the information that we would like and the reason we need it, so that you can carefully consider whether you wish to consent.

You should be aware that it is not a condition of your contract with us that you agree to any request for consent from us.

Section 8. What if you fail to provide your personal information?

If you fail to provide certain information when requested, we may not be able to perform the contract we have entered into with you (such as paying you or providing a benefit), or we may be prevented from complying with our legal or regulatory obligations (such as ensuring your health and safety).

Section 9. What if the purpose for which Caterpillar collected the personal information changes?

We will only use your personal information for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If we need to use your personal information for an unrelated purpose, we will notify you and we will explain the legal basis which allows us to do so.

Please note that we may process your personal information without your knowledge or consent, in compliance with the above rules, where this is required or permitted by law.

Section 10. Will Caterpillar share your personal information?

We may have to share your data with Third Parties (as defined below), including third-party service providers and Caterpillar.

We may transfer your personal information outside the European Union (“EU”). If we do, you can expect a similar degree of protection with respect to your personal information.

Section 11. Which Third Parties may process your personal information?

“Third Parties” includes third-party service providers (including contractors, designated agents, insurers and insurance brokers) and other entities of Caterpillar. Examples include:

- Vendors, service providers, and other partners who support our business, such as providing technical infrastructure services;
- Law enforcement or other government agencies;
- Subsidiaries, affiliates and other entities controlled by Caterpillar;
- Other third-party service providers that process personal information on behalf of Caterpillar; and
- An acquiring entity (or an entity that is interested in acquiring) in the event that Caterpillar divests (or is considering divesting) a portion of its business.

Section 12. When might Caterpillar share your personal information within Caterpillar?

We will share your personal information within Caterpillar as part of our regular business and reporting activities, in the context of a business reorganization or group restructuring exercise, for system maintenance support, for hosting of data and for other legitimate business reasons. Examples include:

- payroll;
- benefits provision and administration (including pensions);
- occupational health or medical assessments regarding your fitness to work and health and safety (e.g. workstation assessments);
- insurance claims and notifications;
- provision and administration of recruitment assessments, training and professional development;
- library and research services such as subscriptions and memberships;
- building security access and maintenance;
- travel providers;
- telecommunications and messaging services such as our business continuity emergency notification system;
- hard copy archiving; and
- IT services.

Section 13. Why might Caterpillar share your personal information with Third Parties?

We will share your personal information with Third Parties for the following reasons:

- In order to comply with a legal or regulatory obligation, where such disclosure is required by a regulatory or supervisory authority, the police or a court of competent jurisdiction;
- Where it is necessary to administer the contract, working relationship and any associated benefits with or for you;
- For the purposes of auditing, insuring and in the course of seeking advice with regards to our business operations and claims handling; and
- Where we have another legitimate interest in doing so.

Section 14. When would Caterpillar transfer personal information outside of the EU?

The personal information that we collect about you may be transferred to, and stored at, one or more countries outside the European Economic Area (“**EEA**”). It may also be processed by staff operating outside the EEA who work for Caterpillar or for our third-party service providers. In such cases, we will take appropriate steps to ensure an adequate level of data protection of the recipient as required under the GDPR and as described in this document. If we cannot ensure such an adequate level of data protection, your personal data will only be transferred outside the EEA if you have given your prior consent to the transfer.

Section 15. What security measures are in place to protect personal information?

We have put in place appropriate security measures to protect the security of your personal information and provide the appropriate level of security for the risk, including measures designed to prevent your personal information from being accidentally lost, used or accessed in an unauthorized way, altered, or disclosed. Details of those measures are available on request. In addition, we limit access to your personal information to those employees, agents, contractors and other third parties who have a business need to know.

We have put in place procedures to deal with any suspected data security breach and will notify you and any applicable regulator of a suspected breach where we are legally required to do so.

Section 16. How long will Caterpillar retain personal information?

We will only retain your personal information for as long as necessary to fulfill the purposes for which it was collected, including for the purposes of satisfying any legal, regulatory, accounting, or reporting requirements. Details of retention periods for different aspects of your personal information are available in our data retention policy which is available from the HR department. To determine the appropriate retention period for personal information, we consider the amount, nature, and sensitivity of the personal information, the potential risk of harm from unauthorized use or disclosure of your personal information, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements.

Once you are no longer an employee, worker or contractor of Caterpillar, we will retain and securely destroy your personal information in accordance with our data retention policy.

Section 17. What is your duty to inform Caterpillar of changes to your personal information?

It is important that the personal information we hold about you is accurate and current. Please contact your Human Resources representative for the proper procedure for informing us of any necessary changes to your personal information that we possess.

Section 18. What are your rights related to your personal information?

Under certain circumstances, by law you have the right to:

- Request access to your personal information (commonly known as a “data subject access request”). This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it.
- Request correction of the personal information that we hold about you. This enables you to have any incomplete or inaccurate personal information we hold about you corrected.
- Request erasure of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal information where you have exercised your right to object to processing (see below).
- Object to processing of your personal information where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground. You also have the right to object where we are processing your personal information for direct marketing purposes.
- Request the restriction of processing of your personal information. This enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it.
- Request the transfer of your personal information to another party.
- Lodge a complaint with the applicable supervisory authority with regard to our processing of your personal information.

If you want to exercise your right(s) as reflected above, you may do so by using one of the following methods:

Online: [EU Individual Rights Request Form](#)

Email: dataprivacy@cat.com

Telephone: +1 (800) 806-6832 or +1 309-494-3282(DATA)

If submitting by email; please be sure to include what right(s) you are seeking to invoke and provide what data or information your request is concerning so that your request can be properly and timely addressed.

You will not have to pay a fee to access your personal information (or to exercise any of the other rights). However, we may charge a reasonable fee if your request for access is clearly unfounded or excessive. Alternatively, we may refuse to comply with the request in such circumstances.

Section 19. What might Caterpillar need from you?

We may need to request specific information from you to help us confirm your identity and ensure your right to access the personal information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal information is not disclosed to any person who has no right to receive it.

Section 20. What is your right to withdraw consent?

In the limited circumstances where you may have provided your consent to the collection, processing and transfer of your personal information for a specific purpose, you have the right to withdraw your consent for that specific processing at any time. To withdraw your consent, please your local, regional or corporate Human Resources representative. Once we have received notification that you have withdrawn your consent, we will no longer process your personal information for the purpose or purposes you originally agreed to, and unless we have another lawful basis for continuing to process your personal information, we will dispose of it securely.

Section 21. What if there are changes to this document?

We reserve the right to update this Global Privacy Statement and this appendix at any time, and we will provide you with updated documents when we make any substantial updates. We may also notify you in other ways from time to time about the processing of your personal information.

[END Appendix 2. Human Resources Data Subjects EEA]

Appendix 3. Australia

Updated 07/01/2019

This Appendix to the Caterpillar Global Data Privacy Statement provides additional information about how Caterpillar collects, stores, uses, transfers and otherwise processes personal information in or from Australia. For more information, please see the main body of Caterpillar's Global Data Privacy Statement.

Section 1. Storage of Personal Information

Caterpillar stores personal information electronically on our servers, which are provided and managed by Caterpillar and its third-party vendors.

Section 2. Cross-border Transfers of Personal Information

We may disclose personal information outside of Australia, including to Caterpillar affiliates that are covered by this Global Data Privacy Statement and to vendors used by those Caterpillar companies (for a list of Caterpillar affiliates covered by Caterpillar's Global Data Privacy Statement and the country in which they are established, see the Legal Entities Section of the Global Data Privacy Statement). The countries in which overseas recipients are likely to be located currently include the United States of America, the United Kingdom, the Netherlands, Switzerland, Singapore, China, Japan, and India. For personal information that is subject to the Australian Privacy Principles, we take appropriate steps to ensure an appropriate level of protection (e.g., consistent with the Australian Privacy Principles) when transferring such personal information to those in other countries or obtain your consent.

Section 3. Contacting Caterpillar or the Office of the Australian Information Commissioner

If you have any questions about Caterpillar's processing of your personal information, please contact your local Caterpillar contact, Caterpillar's Data Privacy Office at dataprivacy@cat.com, or Caterpillar's Office of Business Practices as listed in Section 10 of the Global Data Privacy Statement. If you believe that personal information has been handled in a manner inconsistent with the Global Data Privacy Statement and you are not satisfied with the response provided by your local Caterpillar contact, the Privacy Office or Caterpillar's Office of Business Practices you may wish to contact the Office of the Australian Information Commissioner.

Appendix 4. California

Effective: January 1, 2020 (Last updated: May 1, 2020)

This Appendix to the Caterpillar Global Data Privacy Statement provides additional information about how Caterpillar collects, stores, uses, transfers and otherwise processes personal information about California consumers (as defined by the California Consumer Privacy Act or "**CCPA**"). The CCPA, including its notice obligations and rights granted to individuals, applies differently to individuals in a Human Resources context (e.g., employees). Additionally, it includes exceptions for consumers that are engaged in business-to-business activities. Please refer to **Article 1 – Human Resources** of this Appendix 4 for more information in the Human Resources context. Please refer to **Article 2 – Non-Human Resource Consumers** of this Appendix 4 for more information about other consumers (excluding business-to-business activities exempted under the CCPA). For more information about Caterpillar's practices about personal information more generally, please see the main body of Caterpillar's Global Data Privacy Statement.

Article 1 – Human Resources

Section 1. What is the Purpose of this Article to Appendix 4?

The purpose of this Article to Appendix 4 is to inform job applicants, employees of, owners of, directors of, officers of, medical staff of, and contractors of Caterpillar (collectively referred to as "employees" for the purposes of this Article), of the categories of Personal Information (as defined below) that we collect and the purposes for which we use such Personal Information.

Section 2. Collection and Use of Personal Information for Business Purposes

For purposes of this Notice, “**Personal Information**” is information that relates to an identified or identifiable person. Personal Information does not include deidentified, aggregated, or combined information, which includes data that is not reasonably capable of identifying you or being linked to you. Personal Information also does not include publicly available information (information that is lawfully made available from federal, state, or local government records).

We collect, use, and disclose employee Personal Information for business purposes only (as described further below) and in a manner consistent with applicable laws. Where we disclose Personal Information to third parties, we do so for the same purposes described below and, where appropriate, we require that such third parties maintain the confidentiality of the Personal Information and maintain appropriate systems and processes to secure and protect the Personal Information.

We collect and use the following categories of Personal Information about you to manage your employment relationship with us:

Category of Personal Information	How We Use the Personal Information
Contact Information of employees and beneficiaries and family members (e.g., name, personal and work address, personal and work telephone number, personal and work e-mail address, emergency contact(s) information)	To identify and communicate and to manage and maintain benefits and company records
Professional Qualifications Information (e.g., work experience, education, references, certifications, professional memberships, languages capabilities, any other similar information provided through the application process or during employment)	To evaluate and select individuals for role(s) within Caterpillar and facilitate development
Employment-related Information (e.g., work history, performance appraisals, disciplinary and conduct records, goals, attendance, work absences, training records, salary, compensation, and other benefits)	To manage the employment relationship and manage compliance obligations
Health and Safety Information (e.g., workplace injury, near misses, fitness for duty)	To meet compliance obligations and manage health and safety
Identification and Verification Information (e.g., photographs, driver’s license, citizenship, passport, visas, other proofs of identity)	To meet compliance obligations, determine eligibility for work, and to enable physical or remote access to Caterpillar facilities or systems
Financial Information (e.g., bank account details, wage garnishment records (if applicable))	To manage payroll, benefits, and expenses
Automotive Information (e.g., vehicle license plate information)	To facilitate access to Caterpillar facilities (e.g., parking)
Travel Information (e.g., travel itinerary, visas, rewards program information such as frequent flyer account)	To manage business travel, including without limitation logistics, reimbursement/payment, and safety
Information Security / Technology Data (e.g., information captured using Caterpillar systems, including any information that you create or upload into those systems).	To facilitate the use of the applicable systems and security of those systems

Section 3. Additional Purposes for Using Personal Information

In addition to the purposes identified above, we may also use and share the categories of Personal Information identified above to:

- To audit interactions, transactions, and records;
- To monitor compliance with company policies and procedures;
- To detect security incidents, protecting against malicious, deceptive, fraudulent, or illegal activity, and prosecuting those responsible for that activity;
- To comply with legal obligations and to disclose to law enforcement or other government agencies (when required by law; to protect Caterpillar, a person or property; to support our business, such as in applications for government grants; and when authorized by you); and
- Otherwise disclose in accordance with directions, or consent, from you.

Section 4. Who can I Contact for Additional Information?

You can email Caterpillar’s Data Privacy team at: dataprivacy@Cat.com or through postal service at:

Attn: Data Privacy
 Caterpillar Inc.
 100 N.E. Adams Street
 Peoria, IL 61629

Article 2 – Non-Human Resource Consumers

Section 1. What is the Purpose of this Article to Appendix 4?

The CCPA provides California consumers with certain rights regarding personal information about them. This Article describes how we collect, process, and disclose Personal Information about you during and after your relationship with us and explains your rights. If you are a California consumer and would like to exercise any of those rights under the CCPA, please see Section 5 below for more information on how to submit a request.

This Article applies only to California consumers. For the purpose of this Article, a “California consumer” is a natural person who resides in California and does not include persons to the extent they are (i) acting as an employee, owner, director, officer or contractor of a company, partnership, sole proprietorship, nonprofit or government agency that is doing business with Caterpillar (which includes our dealers) or (ii) acting as a job applicant to, an employee of, owner of, director of, officer of, medical staff member of, or contractor of Caterpillar.

Section 2. What Categories of Personal Information Could Caterpillar Collect, Process, and Disclose and for what Purposes?

Categories of Personal Information	Sources of Information	Business or Commercial Purpose for which Personal Information was Collected/Used	Categories of Third Parties to with Whom the Personal Information is Shared
Identifiers (e.g., name, postal address, unique personal identifiers, online identifiers, IP address, email address) Personal information categories listed in the California Customer	<ul style="list-style-type: none"> • Directly from individuals; • Third parties (e.g., companies with which you interacted to purchase the Caterpillar 	<ul style="list-style-type: none"> • Identify you and manage our relationship with you, including communicate with you, enable access to Caterpillar facilities and systems, deliver products/services and 	<ul style="list-style-type: none"> • Vendors, service providers, and other partners who support our business, such as providing technical

<p>Records statute (e.g., name, signature, address, telephone number)</p>	<p>product, technology platforms)</p>	<p>related information to you, meet compliance obligations, and manage safety.</p>	<p>infrastructure services</p>
<p>Commercial Information (e.g., purchasing history)</p>		<ul style="list-style-type: none"> • Auditing related to a current interaction with the consumer and concurrent transactions 	<ul style="list-style-type: none"> • Subsidiaries, affiliates, and other entities controlled by Caterpillar
<p>Internet or other electronic network activity information (e.g., system and network identification and credentials and usage)</p>		<ul style="list-style-type: none"> • Detecting security incidents, protecting against malicious, deceptive, fraudulent, or illegal activity, and prosecuting those responsible for that activity • Performing services, including maintaining or servicing accounts, providing customer service, processing or fulfilling orders or transactions, verifying customer information, processing payments, providing financing, providing advertising or marketing services, providing analytic services, or similar services • Undertaking internal research for technological development and demonstration; • Undertaking activities to verify or maintain the quality or safety of a service or device that is owned, manufactured, manufacturer for, or controlled by the business, and to improve, upgrade, or enhance the service of device that is owned, manufactured, manufacturer for, or controlled by the business • Debugging to identify and repair errors that 	<ul style="list-style-type: none"> • Other third-party service providers that process personal information on behalf of Caterpillar

		impair existing intended functionality	
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In addition to the purposes identified above, we may also use and share the categories of Personal Information identified above to:

- Disclose to law enforcement or other government agencies (when required by law; to protect Caterpillar, a person or property; to support our business, such as in applications for government grants; and when authorized by you)
- Otherwise disclose in accordance with directions from you

Section 3. Does Caterpillar Sell My Personal Information?

We have not sold your Personal Information in the preceding twelve (12) months and will not sell your Personal Information to third parties.

Section 4. What Rights Do I Have Under the CCPA?

You may have rights under the CCPA. The CCPA grants consumers certain rights with regard to Personal Information that relates to them; however, these rights are not absolute and in certain circumstances do not apply. The rights under the CCPA include:

- *Right to Request Know / Access to Your Personal Information and Data Portability* – The right to request information about the collection of your personal information by Caterpillar or access your personal information.
- *Right to Deletion* – The right to request the deletion of personal information about you.
- *Right to Opt-Out of Sale of Personal Information* – The right to direct the business to not sell (or stop selling) your personal information.
- *Right of Non-Discrimination* – The right to not be discriminated against for exercising your rights under the CCPA.

We will not discriminate against you for exercising any of your rights under the CCPA, and unless permitted by the CCPA, we will not:

- deny you goods or services;
- charge you different prices or rates for goods or services, including through granting discounts or other benefits, or imposing penalties;
- provide you a different level or quality of goods or services; or
- suggest that you may receive a different price or rate for goods or services or a different level or quality of goods or services;

for exercising one of your rights under the CCPA.

Section 5. How Do I Invoke a Right Under the CCPA?

You may exercise your right(s) under the CCPA by using one of the following methods:

- Online: [CCPA Rights Request Intake Form](#);
- Email: dataprivacy@cat.com; or
- Telephone: +1 (800) 806-6832 or +1 309-494-3282(DATA).

If submitting by email; please be sure to include what right(s) you are seeking to invoke and provide what data or information your request is concerning so that your request can be properly and timely addressed.

Since we can only respond to a verified request, we may request information from you in order to confirm that you, or an authorized agent designated by you, are the one exercising your right as a consumer. We may request that you send your request through your account (if you have an account) or we may ask certain security questions to verify your identity before we respond to your request. You do not need to create an account with Caterpillar to exercise any of your individual rights (access, deletion, or opt-out of sale).

Section 6. Who can I Contact for Additional Information?

You can email Caterpillar's Data Privacy team at: dataprivacy@Cat.com or through postal service at:

Attn: Data Privacy
Caterpillar Inc.
100 N.E. Adams Street
Peoria, IL 61629

[END Appendix 4. California Consumer Privacy Act]

Appendix 5. Brazil - Non-Human Resources Data Subjects

This Appendix to the Caterpillar Global Data Privacy Statement provides additional information about how Caterpillar collects, stores, uses, transfers, and otherwise processes personal information (including sensitive personal data) in or from Brazil. This Appendix is applicable to individuals who do not have an employee / human resources relationship with Caterpillar. For more information, please see Caterpillar's Global Data Privacy Statement. For more information on how Caterpillar collects and processes non-personal information, please see Caterpillar's Global Data Governance Statement.

If you were referred to this Brazil Appendix from an agreement you have with Caterpillar, then the data controller for the personal information that is being processed in connection with that agreement will be the legal entity referred to in that agreement. For the purpose of this Brazil Appendix, the relevant controllers are listed in the [Schedule A - List of Caterpillar Data Controllers / Legal Entities](#) of the Caterpillar's Global Privacy Statement.

Section 1. What is the purpose of this appendix?

Caterpillar is committed to protecting the privacy and security of your personal information. This Brazil Appendix describes how we collect, store, use, and transfer personal information about you during and after your relationship with us, in accordance with the Brazilian General Data Protection Law (Law No. 13,709/18 - "LGPD"). As Data Controller, we are required under data protection legislation to notify you of the information contained in this Brazil Appendix.

Section 2. What sensitive personal data could Caterpillar collect and process?

Sensitive personal data requires a higher level of protection. This is personal information which reveals or contains: racial or ethnic origin, political opinions, religious and philosophical beliefs, trade union membership, genetic data, biometric data, health data, sex life or sexual orientation.

We may collect, store, and use the following, which may include or be considered sensitive personal data (as defined above):

- Background Information, if and when permitted by applicable laws (e.g., ethnicity and drug and alcohol testing); and
- Biometric Information (e.g., thumbprints).

Section 3. Why does Caterpillar use your personal information?

We need all the categories of information collected primarily to allow us to manage our relationship with you in order to operate our business and to enable us to comply with our legal and regulatory obligations. In some cases, we may

use your personal information to pursue legitimate interests of our own or those of third parties, provided your interests and fundamental rights do not override those interests.

The reasons for which we, or a contracted third party, will process your personal information are listed in [Table 1](#) below.

Some of those purposes for processing will overlap and there may be several purposes which justify our use of your personal information.

Table 1. Categories, Purpose, and Legal Bases of Processing: Non-Human Resources Data

Data Subjects	Categories of Personal Data	Purposes of Processing	Legal Basis for Processing
Customers and Suppliers	<ul style="list-style-type: none"> · Contact Information (e.g., name, address, telephone number, company name) · Billing information (financial accounts data, invoices receipt, residence information) · Client relationship Management Information · Electronic identification information (e.g., email), system usage and preferences 	<ul style="list-style-type: none"> · Facilitate communications · Evaluation and potentially entering into a business relationship or contract, including potentially preparing bids (responses to bids) and other requests that relate to the potential business · To facilitate financial transactions and management; Audit · Fulfilling our compliance obligations (e.g., anti-money laundering, screening against sanctions lists) · Management of our IT systems and to provide services 	<ul style="list-style-type: none"> · Performance of a contract · Comply with legal requirements · Legitimate interest (to manage the relationship)
Customers	<ul style="list-style-type: none"> · Contact Information (e.g., name, address, telephone number, company name) · Billing information · Credit worthiness · Electronic identification information (e.g., email), system usage and preferences 	<ul style="list-style-type: none"> · Repair and Warranty Information · Conducting credit reference checks and financial due diligence · Performing customer satisfaction survey 	<ul style="list-style-type: none"> · Performance of a contract · Legitimate interest (to receive feedback on customers experiences) · Protection of credit
Visitors to facilities	<ul style="list-style-type: none"> · Contact Information (e.g., name, address, telephone number, company name) · Image (photograph, video) · Vehicle Information (e.g., make, model, license plate) · Identification Information (e.g., government documents/identifiers) 	<ul style="list-style-type: none"> · Prevention and detection of crime or other misconduct · Other security and risk management purposes 	<ul style="list-style-type: none"> · Comply with legal requirements · Legitimate interest (safety and security)

Subscribers to our newsletters or other marketing activities	<ul style="list-style-type: none"> · Contact Information (e.g., name, address, telephone number, company name) · Electronic identification information (e.g., email) and preferences 	<ul style="list-style-type: none"> · To inform you about our activities, sending you our newsletter, sending you our reports, share exciting new information about our products 	<ul style="list-style-type: none"> · Legitimate interest (communicating about related products or services) · Consent
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Section 4. What are Caterpillar’s lawful bases for processing your personal information?

We will only use your personal information when the law allows us to. Most commonly, we will rely on one or more of the following bases for processing your personal information:

- Where it is necessary to comply with a legal or regulatory obligation.
- Where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests.
- Where it is necessary for the performance of a contract.

We may also use your personal information in the following situations, which are likely to be rare:

- Where we need to protect your life or physical integrity (or someone else’s life or physical integrity).
- Where we need it for credit protection.
- Where it is necessary for the exercise of our rights in lawsuits, administrative proceedings, or arbitration.
- Where we have obtained your prior consent (this is only used in relation to voluntary processing and is not used for processing that is necessary or obligatory).
- For the protection of credit, including as provided for in relevant legislation.

The legal grounds we rely on to process your personal information are listed in [Table 1](#).

Section 5. What are sensitive personal data used for at Caterpillar?

We will use your sensitive personal data for the following purposes:

- Information related to biometric data, to identify or authenticate users and for access control purposes.

We may process sensitive personal data (as defined above) because we have a lawful basis for doing so (including, without limitation, for compliance with a legal obligation, or to protect the security of the data subject, as set out above) and because in limited circumstances, we have your explicit written consent. Less commonly, we may process this type of information where it is needed in relation to legal claims or exercise of our rights, or where it is needed to protect your life or physical integrity (or someone else’s life or physical integrity).

Section 6. When is automated decision making used?

Caterpillar does not regularly and systematically perform automated decision making producing a legal effect concerning individuals or that would have a similarly significant effect. In the event that you are interacting with a Caterpillar company that is performing such automated decision making you should receive a specific notice that outlines the details of the automated decision making.

Under LGPD, you have the right to request the review decisions taken solely on the basis of automated processing of personal data that affects your interests.

Section 7. Does Caterpillar need your consent?

In limited circumstances, we may approach you for your written consent to allow us to process certain particularly sensitive personal data. If we do so, we will provide you with details of the information that we would like and the reason we need it, so that you can carefully consider whether you wish to consent. We also rely on consent in other situations as identified in [Table 1](#).

You should be aware that it is not a condition of your contract with us that you agree to any request for consent from us. If you give us your consent, you will be able to withdraw your consent at any time.

Section 8. What if you fail to provide your personal information?

If you fail to provide certain information when requested, we may not be able to perform the contract we have entered into with you (such as paying you or providing you with a product), or we may be prevented from complying with our legal or regulatory obligations.

Section 9. What if the purpose for which Caterpillar collected the personal information changes?

We will only use your personal information for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If we need to use your personal information for an unrelated purpose, we will notify you and we will explain the legal basis which allows us to do so.

Please note that we may process your personal information without your knowledge or consent, in compliance with the above rules, where this is required or permitted by law.

Section 10. Will Caterpillar share your personal information?

We may have to share your data with Third Parties (as defined below), including third-party service providers and Caterpillar.

We may transfer your personal information outside Brazil. If we do, you can expect a similar degree of protection with respect to your personal information.

Section 11. Which Third Parties may process your personal information?

“Third Parties” includes third party service providers (including contractors, designated agents, insurers and insurance brokers) and other entities of Caterpillar. Examples include:

- Vendors, service providers, and other partners who support our business, such as providing technical infrastructure services;
- Law enforcement or other government agencies;
- Subsidiaries, affiliates, and other entities controlled by Caterpillar;
- Other third-party service providers that process personal information on behalf of Caterpillar; and
- An acquiring entity (or an entity that is interested in acquiring) in the event that Caterpillar divests (or is considering divesting) a portion of its business.

Section 12. When might Caterpillar share your personal information within Caterpillar?

We will share your personal information within Caterpillar as part of our regular business and reporting activities, in the context of a business reorganization or group restructuring exercise, for system maintenance support, for hosting of data and for other legitimate business reasons.

Section 13. Why might Caterpillar share your personal information with Third Parties?

We will share your personal information with Third Parties for the following reasons:

- In order to comply with a legal or regulatory obligation, where such disclosure is required by a regulatory or supervisory authority, the police or a court of competent jurisdiction;

- Where it is necessary to administer the contract with or for you;
- For the purposes of auditing, insuring and in the course of seeking advice with regards to our business operations and claims handling; and
- Where we have another legitimate interest in doing so.

Section 14. When would Caterpillar transfer personal information outside of Brazil?

The personal information that we collect about you may be transferred to, and stored at, one or more countries outside Brazil. It may also be processed by staff operating outside Brazil who work for Caterpillar or for our third-party service providers. In such cases, we will take appropriate steps to ensure an adequate level of data protection of the recipient as required under LGPD and as described in this document. If we cannot ensure such an adequate level of data protection, your personal data will only be transferred outside Brazil if you have given your prior consent to the transfer.

Section 15. What security measures are in place to protect personal information?

We have put in place appropriate security measures to protect the security of your personal information and provide the appropriate level of security for the risk, including measures designed to prevent your personal information from being accidentally lost, used or accessed in an unauthorized way, altered, or disclosed. Details of those measures are available on request. In addition, we limit access to your personal information to those employees, agents, contractors and other third parties who have a business need to know.

We have put in place procedures to deal with any suspected data security breach and will notify you and any applicable regulator of a suspected breach where we are legally required to do so.

Section 16. How long will Caterpillar retain personal information?

We will only retain your personal information for as long as necessary to fulfill the purposes for which it was collected, including for the purposes of satisfying any legal, regulatory, accounting, or reporting requirements. Details of retention periods for different aspects of your personal information are available in our data retention policy. To determine the appropriate retention period for personal information, we consider the amount, nature, and sensitivity of the personal information, the potential risk of harm from unauthorized use or disclosure of your personal information, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements.

Section 17. What is your duty to inform Caterpillar of changes to your personal information?

It is important that the personal information we hold about you is accurate and current. Please contact your Caterpillar contact or email dataprivacy@cat.com for informing us of any necessary changes to your personal information that we possess.

Section 18. What are your rights related to your personal information?

Under certain circumstances, by law you have the right to:

- Confirm the existence of processing;
- Request access to your personal information (commonly known as a “data subject access request”), by means of a summary report or a detailed report. Under certain limited circumstances, you may be entitled to receive a copy of the personal information we hold about you.
- Request correction of incomplete, inaccurate, or outdated personal information we hold about you.
- Request the anonymization, blocking or deletion of unnecessary or excessive personal information about you, or personal information about you we process in noncompliance with the provisions of LGPD.
- Request the portability of the personal information we hold about you to another service or product provider, under specific circumstances.
- Request the deletion of your personal information that was processed based on your consent.

- Obtain information about public and private entities with which we have shared your personal information.
- Obtain information about the possibility of denying consent and the consequences of such denial, whenever we ask for your consent to process your personal information.
- Oppose to any data processing activity for which your consent was not required, if there is a breach of LGPD.
- Revoke your consent, whenever our processing of your personal information was based on your consent.
- Lodge a complaint with the applicable supervisory authority with regard to our processing of your personal information.

If you want to exercise your right(s) as reflected above, you may do so by using one of the following methods:

Online: [Brazil Individual Rights Request Form](#)

Email: dataprivacy@cat.com

If submitting by email; please be sure to include what right(s) you are seeking to invoke and provide what data or information your request is concerning so that your request can be properly and timely addressed.

You will not have to pay a fee to access your personal information (or to exercise any of the other rights). However, we may refuse to comply with the request if your request for access is clearly unfounded or excessive.

You may also contact the applicable Data Protection Officer. To identify the Data Protection Officer for the applicable Caterpillar company, please see [Schedule A - List of Caterpillar Data Controllers / Legal Entities](#).

Section 19. What might Caterpillar need from you?

We may need to request specific information from you to help us confirm your identity and ensure your right to access the personal information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal information is not disclosed to any person who has no right to receive it.

Section 20. What is your right to withdraw consent?

In the circumstances where you may have provided your consent to the collection, processing and transfer of your personal information for a specific purpose, you have the right to withdraw your consent for that specific processing at any time. To withdraw your consent, please contact dataprivacy@cat.com or use any unsubscribe options we may provide you in the context of our processing activities. Once we have received notification that you have withdrawn your consent, we will no longer process your personal information for the purpose or purposes you originally agreed to, and unless we have another lawful basis for continuing to process your personal information, we will dispose of it securely.

Section 21. What if there are changes to this document?

We reserve the right to update this Global Privacy Statement and this appendix at any time, and we will provide you with updated documents when we make any substantial updates. We may also notify you in other ways from time to time about the processing of your personal information.

[END Appendix 5. Brazil - Non-Human Resources Data Subjects]

Appendix 6. Brazil - Human Resources Data Subjects

This Appendix to the Caterpillar Global Data Privacy Statement provides additional information about how Caterpillar collects, stores, uses, transfers, and otherwise processes personal information (including sensitive personal data) in or from Brazil. This Appendix is applicable to individuals who have an employee / human resources relationship with Caterpillar. For more information, please see Caterpillar's Global Privacy Statement.

If you were referred to this Brazil Appendix from an agreement you have with Caterpillar, then the data controller for the personal information that is being processed in connection with that agreement will be the legal entity referred to in that agreement. For the purpose of this Brazil Appendix, the relevant controllers are listed in the [Schedule A \(List of Caterpillar Data Controllers / Legal Entities\)](#) to Caterpillar’s Global Privacy Statement.

Section 1. What is the purpose of this appendix?

Caterpillar is committed to protecting the privacy and security of your personal information. This Brazil Appendix describes how we collect, store, use, and transfer personal information about you during and after your relationship with us, in accordance with the Brazilian General Data Protection Law (Law No. 13,709/18 - “**LGPD**”). As Data Controller, we are required under data protection legislation to notify you of the information contained in this Brazil Appendix.

Section 2. What sensitive personal data could Caterpillar collect and process?

Sensitive personal data (also known as special categories of information) requires a higher level of protection. This is personal information which reveals or contains: racial or ethnic origin, political opinions, religious and philosophical beliefs, trade union membership, genetic data, biometric data, health data, sex life or sexual orientation.

We may collect, store, and use the following, which may include or be considered sensitive personal data (as defined above):

- Health Information (e.g., prescription records, benefit claims, and the Explanation of Benefits sent in connection with claims) related to, among other things, physical or mental health, disability status, sickness absence, and family related leaves;
- Background Information, if and when permitted by applicable laws (e.g., marital status, race, ethnicity, and drug and alcohol testing);
- Biometric Information (e.g., thumbprints); and
- Trade Union affiliation.

Section 3. Why does Caterpillar use your personal information?

Personal information is vital to our management and administration of employment relationships. We need all the categories of personal information collected primarily to allow us to manage our relationship with you and to enable us to comply with our legal and regulatory obligations. In some cases, we may use your personal information to pursue legitimate interests of our own or those of third parties, provided your interests and fundamental rights do not override those interests.

The reasons for which we, or a contracted third party, will process your personal information are listed in [Table 1](#) below.

Some of those purposes for processing will overlap and there may be several purposes which justify our use of your personal information.

Table 1. Categories, Purpose, and Legal Bases of Processing: Human Resources Data

Categories of Personal Data	Purposes of Processing	Legal Basis for Processing
Contact Information (e.g., name, address, telephone number, emergency contact(s) information)	<ul style="list-style-type: none"> · Communicate with employees · Facilitate benefits · Maintain accountability of business records 	<ul style="list-style-type: none"> · Performance of a contract · Legitimate interest (to manage and communicate with the workforce)
Identification and verification information (including national/taxpayer identification numbers and work permit status)	<ul style="list-style-type: none"> · Meet compliance and legal obligations 	<ul style="list-style-type: none"> · Performance of a contract · To comply with a legal obligation · Legitimate interest (to manage and communicate with the workforce)

	<ul style="list-style-type: none"> · Enable physical or remote access to Caterpillar facilities or systems · Communicate with employees · Facilitate benefits 	
Financial Account Information	<ul style="list-style-type: none"> · Communicate with employees · Facilitate salary and benefits 	<ul style="list-style-type: none"> · Performance of a contract · To comply with a legal obligation · Legitimate interest (to manage and communicate with the workforce)
Automotive Information (e.g., driving history, vehicle registration, driver's license number)	<ul style="list-style-type: none"> · Facilitate access to Caterpillar facilities (e.g., parking) · Manage company vehicles 	<ul style="list-style-type: none"> · Performance of a contract · Legitimate interest (to facilitate access and management of Caterpillar facilities and equipment)
Professional/Applicant Qualifications Information (e.g., work experience, education, reference information, background/criminal check)	<ul style="list-style-type: none"> · Evaluate and select individuals for a role within Caterpillar 	<ul style="list-style-type: none"> · Performance of a Contract · Legitimate interest (to manage the workforce)
General HR records	<ul style="list-style-type: none"> · Management purposes · Verification purposes, necessary as evidence in the event of any query/dispute and for the provision of references · Conduct analytics studies to review and better understand employee retention and attrition rates · Managing education, training and development 	<ul style="list-style-type: none"> · Performance of a contract · To comply with a legal obligation · Legitimate interest (to manage the workforce)
Employment-related Information (e.g., work history, performance appraisals, goals, attendance, work absences)	<ul style="list-style-type: none"> · Monitoring and evaluation of performance to support decisions (e.g., salary increases, incentives and promotion) 	<ul style="list-style-type: none"> · Performance of a Contract · Legitimate interest (to manage the workforce)
Health & Safety (e.g., safety incidents)	<ul style="list-style-type: none"> · Manage health and safety at facilities 	<ul style="list-style-type: none"> · To comply with a legal obligation · To protect the life and physical integrity · Legitimate interest (to maintain safety)
Personal data obtained from security, monitoring, or an investigation	<ul style="list-style-type: none"> · Prevention and detection of crime or other misconduct · Other security and risk management purposes 	<ul style="list-style-type: none"> · To comply with a legal obligation · To protect the life and physical integrity · Legitimate interest (to manage the workforce and security)
Personal data processed on our IT systems	<ul style="list-style-type: none"> · For the conduct of the business 	<ul style="list-style-type: none"> · Performance of a contract · Legitimate interest (to manage business processes and systems)

Section 4. What are Caterpillar's lawful bases for processing your personal information?

We will only use your personal information when the law allows us to. Most commonly, we will rely on one or more of the following bases for processing your personal information:

- Where it is necessary for the performance of a contract we have entered into with you.
- Where it is necessary to comply with a legal or regulatory obligation.
- Where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests.

We may also use your personal information in the following situations, which are likely to be rare:

- Where we need to protect your life or physical integrity (or someone else's life or physical integrity).
- Where it is necessary for the exercise of our rights in lawsuits, administrative proceedings or arbitration
- Where we have obtained your prior consent (this is only used in relation to voluntary processing and is not used for processing that is necessary or obligatory).
- For the protection of credit, including as provided for in relevant legislation.

We will rely on legitimate interests as the lawful basis for processing the categories of personal information set out below and, in each case we have identified the legitimate interest upon which we rely. We also identify supplemental bases for processing certain categories of information where warranted in a specific notice that we will provide you.

Section 5. What are sensitive personal data used for at Caterpillar?

We will use your sensitive personal data for the following purposes:

- Information relating to leaves of absence, which may include sickness absence or family related leaves, to comply with employment and other laws.
- Information about your physical or mental health, or disability status, to ensure your health and safety in the workplace and to assess your fitness to work, to provide appropriate workplace adjustments, to monitor and manage sickness absence and to administer benefits.
- Information related to trade union affiliation to facilitate dues collection, maintain contact lists, and perform other business-related activities.
- Information related to ethnicity and/or nationality, to comply with employment and other laws.
- Information related to biometric data, to identify or authenticate users and for access control purposes.

We may process sensitive personal data (as defined above) because we have a lawful basis for doing so (as set out above) and because:

- In limited circumstances, we have your explicit written consent;
- We need to carry out obligations or exercise specific rights in the field of employment and social security law and in line with our Global Data Privacy Statement;

Less commonly, we may process this type of information where it is needed in relation to legal claims or exercise of our rights, or where it is needed to protect your life or physical integrity (or someone else's life or physical integrity).

Section 6. When is automated decision making used?

Caterpillar does not regularly and systematically perform automated decision making producing a legal effect concerning individuals or that would have a similarly significant effect. In the event that you are interacting with a

Caterpillar company that is performing such automated decision making you should receive a specific notice that outlines the details of the automated decision making.

Under LGPD, you have the right to request the review of automated decision taken solely on the basis of automated processing of personal data that affects your interests.

Section 7. Does Caterpillar need your consent?

In limited circumstances, we may approach you for your written consent to allow us to process certain particularly sensitive personal data. If we do so, we will provide you with details of the information that we would like and the reason we need it, so that you can carefully consider whether you wish to consent.

You should be aware that it is not a condition of your contract with us that you agree to any request for consent from us.

Section 8. What if you fail to provide your personal information?

If you fail to provide certain information when requested, we may not be able to perform the contract we have entered into with you (such as paying you or providing a benefit), or we may be prevented from complying with our legal or regulatory obligations (such as ensuring your health and safety).

Section 9. What if the purpose for which Caterpillar collected the personal information changes?

We will only use your personal information for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If we need to use your personal information for an unrelated purpose, we will notify you and we will explain the legal basis which allows us to do so.

Please note that we may process your personal information without your knowledge or consent, in compliance with the above rules, where this is required or permitted by law.

Section 10. Will Caterpillar share your personal information?

We may have to share your data with Third Parties (as defined below), including third-party service providers, other Caterpillar entities, and public government agencies or authorities.

We may transfer your personal information outside Brazil. If we do, you can expect a similar degree of protection with respect to your personal information.

Section 11. Which Third Parties may process your personal information?

“Third Parties” includes third-party service providers (including contractors, designated agents, insurers and insurance brokers) and other entities of Caterpillar. Examples include:

- Vendors, service providers, and other partners who support our business, such as providing technical infrastructure services;
- Law enforcement or other government agencies;
- Subsidiaries, affiliates and other entities controlled by Caterpillar;
- Other third-party service providers that process personal information on behalf of Caterpillar; and
- An acquiring entity (or an entity that is interested in acquiring) in the event that Caterpillar divests (or is considering divesting) a portion of its business.

Section 12. When might Caterpillar share your personal information within Caterpillar?

We will share your personal information within Caterpillar as part of our regular business and reporting activities, in the context of a business reorganization or group restructuring exercise, for system maintenance support, for hosting of data and for other legitimate business reasons. Examples include:

- payroll;
- benefits provision and administration (including pensions);
- occupational health or medical assessments regarding your fitness to work and health and safety (e.g. workstation assessments);
- insurance claims and notifications;
- provision and administration of recruitment assessments, training and professional development;
- library and research services such as subscriptions and memberships;
- building security access and maintenance;
- travel providers;
- telecommunications and messaging services such as our business continuity emergency notification system;
- hard copy archiving; and
- IT services.

Section 13. Why might Caterpillar share your personal information with Third Parties?

We will share your personal information with Third Parties for the following reasons:

- In order to comply with a legal or regulatory obligation, where such disclosure is required by a regulatory or supervisory authority, the police or a court of competent jurisdiction;
- Where it is necessary to administer the contract, working relationship and any associated benefits with or for you;
- For the purposes of auditing, insuring and in the course of seeking advice with regards to our business operations and claims handling; and
- Where we have another legitimate interest in doing so.

Section 14. When would Caterpillar transfer personal information outside of Brazil?

The personal information that we collect about you may be transferred to, and stored at, one or more countries outside Brazil. It may also be processed by staff operating outside Brazil who work for Caterpillar or for our third-party service providers. In such cases, we will take appropriate steps to ensure an adequate level of data protection of the recipient as required under LGPD and as described in this document. If we cannot ensure such an adequate level of data protection, your personal data will only be transferred outside Brazil if you have given your prior consent to the transfer.

Section 15. What security measures are in place to protect personal information?

We have put in place appropriate security measures to protect the security of your personal information and provide the appropriate level of security for the risk, including measures designed to prevent your personal information from being accidentally lost, used, or accessed in an unauthorized way, altered, or disclosed. Details of those measures are available on request. In addition, we limit access to your personal information to those employees, agents, contractors and other third parties who have a business need to know.

We have put in place procedures to deal with any suspected data security breach and will notify you and any applicable regulator of a suspected breach where we are legally required to do so.

Section 16. How long will Caterpillar retain personal information?

We will only retain your personal information for as long as necessary to fulfill the purposes for which it was collected, including for the purposes of satisfying any legal, regulatory, accounting, or reporting requirements. Details of retention periods for different aspects of your personal information are available in our data retention policy which is available from the HR department. To determine the appropriate retention period for personal information, we consider the amount, nature, and sensitivity of the personal information, the potential risk of harm from unauthorized use or disclosure of your personal information, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements.

Once you are no longer an employee, worker, or contractor of Caterpillar, we will retain and securely destroy your personal information in accordance with our data retention policy.

Section 17. What is your duty to inform Caterpillar of changes to your personal information?

It is important that the personal information we hold about you is accurate and current. In many cases, you have self-service access to your data (e.g., internal HR systems). Please keep your information up-to-date, or contact your Human Resources representative for the proper procedure for informing us of any necessary changes to your personal information that we possess.

Section 18. What are your rights related to your personal information?

Under certain circumstances, by law you have the right to:

- Confirm the existence of processing;
- Request access to your personal information (commonly known as a “data subject access request”), by means of a summary report or a detailed report. Under certain limited circumstances, you may be entitled to receive a copy of the personal information we hold about you.
- Request correction of incomplete, inaccurate or outdated personal information we hold about you.
- Request the anonymization, blocking or deletion of unnecessary or excessive personal information about you, or personal information about you we process in noncompliance with the provisions of LGPD.
- Request the portability of the personal information we hold about you to another service or product provider, under specific circumstances.
- Obtain information about public and private entities with which we have shared your personal information.
- Oppose to any data processing activity for which your consent was not required if there is a breach of LGPD.
- Request the deletion of your personal information that was processed based on your consent.
- Obtain information about the possibility of denying consent and the consequences of such denial, whenever we ask for your consent to process your personal information.
- Revoke your consent, whenever our processing of your personal information was based on your consent.
- Lodge a complaint with the applicable supervisory authority with regard to our processing of your personal information.

If you want to exercise your right(s) as reflected above, you may do so by using one of the following methods:

Online: [Brazil Individual Rights Request Form](#)

Email: dataprivacy@cat.com

If submitting by email; please be sure to include what right(s) you are seeking to invoke and provide what data or information your request is concerning so that your request can be properly and timely addressed.

You will not have to pay a fee to access your personal information (or to exercise any of the other rights). However, we may refuse to comply with the request if your request for access is clearly unfounded or excessive.

You may also contact the applicable Data Protection Officer. To identify the Data Protection Officer for the applicable Caterpillar company, please see [Schedule A \(List of Caterpillar Data Controllers / Legal Entities\)](#).

Section 19. What might Caterpillar need from you?

We may need to request specific information from you to help us confirm your identity and ensure your right to access the personal information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal information is not disclosed to any person who has no right to receive it.

Section 20. What is your right to withdraw consent?

In the limited circumstances where you may have provided your consent to the collection, processing, and transfer of your personal information for a specific purpose, you have the right to withdraw your consent for that specific processing at any time. To withdraw your consent, please contact your local, regional, or corporate Human Resources representative. Once we have received notification that you have withdrawn your consent, we will no longer process your personal information for the purpose or purposes you originally agreed to, and unless we have another lawful basis for continuing to process your personal information, we will dispose of it securely.

Section 21. What if there are changes to this document?

We reserve the right to update this Global Privacy Statement and this appendix at any time, and we will provide you with updated documents when we make any substantial updates. We may also notify you in other ways from time to time about the processing of your personal information.

[END Appendix 6. Brazil - Human Resources Data Subjects]

Appendix 7. China

Effective: November 1, 2021

This Appendix to the Caterpillar Global Data Privacy Statement provides additional information about how Caterpillar collects, stores, uses, transfers, and otherwise processes personal information (including sensitive personal information) in or from China as a Personal Information Handler (as defined by China's Personal Information Protection Act or "PIPL"). For more information, please see the main body of Caterpillar's Global Data Privacy Statement. For more information on how Caterpillar collects and processes non-personal information, please see Caterpillar's Global Data Governance Statement.

Section 1. Identity and Contact of the Personal Information Handler

If you were referred to this China Appendix from an agreement you have with Caterpillar, then the Personal Information Handler for the personal information that is being processed in connection with that agreement will be the legal entity referred to in that agreement. For the purpose of this China Appendix, the identity and contact of the relevant Personal Information Handler (also referred to in the Global Data Privacy Statement as a "Controller") are listed in the [Schedule A \(List of Caterpillar Data Controllers / Legal Entities\)](#) to Caterpillar's Global Privacy Statement.

Section 2. Categories of Personal Information; Purposes and Handling Methods of Processing

We need all the categories of information collected primarily to allow us to manage our relationship with you in order to operate our business and to enable us to comply with our legal and regulatory obligations. The categories of personal information and the purposes for which we, or a contracted third party, will process your personal information are listed in [Table 1](#) and [Table 2](#) below. Some of those purposes for processing overlap and there may be several purposes which justify our use of your personal information.

Table 1 is applicable to individuals who do not have an employee / human resources relationship with Caterpillar. Table 2 is applicable to individuals who do have an employee / human resources relationship with Caterpillar.

Table 1. **Categories of Personal Information; Purposes and Handling Methods of Processing:** Non-Human Resources Data

<i>Categories of Personal Information</i>	<i>Purposes and Handling Methods of Processing</i>
Contact Information (e.g., name, address, telephone number, company name)	<ul style="list-style-type: none"> · Communications with you, including information about our activities and products; · Evaluation and potentially entering into a business relationship or contract, including potentially preparing bids (responses to bids) and other requests that relate to the potential business · To facilitate financial transactions and management; and · Auditing related to a current interaction with the customer and concurrent transactions. · Fulfilling our compliance obligations (e.g., anti-money laundering, screening against sanctions lists); · Management of our IT systems and to provide services; · Detecting security incidents, protecting against malicious, deceptive, fraudulent, or illegal activity, and prosecuting those responsible for that activity; · Debugging to identify and repair errors that impair existing intended functionality; · Performing services, including maintaining or servicing accounts, providing customer service, processing or fulfilling orders or transactions, verifying customer information, processing payments, providing financing, providing advertising or marketing services, providing analytic services, or similar services; · Undertaking internal research for technological development and demonstration; · Undertaking activities to verify or maintain the quality or safety of a service or device that is owned, manufactured, manufacturer for, or controlled by the business, and to improve, upgrade, or enhance the service of device that is owned, manufactured, manufacturer for, or controlled by the business; · Processing Repair and Warranty claims; · Conducting financial credit reference checks and financial due diligence; and · Performing customer satisfaction surveys.
Billing information (e.g., invoices receipt, residence information, financial credit information)	
Client Relationship Management Information	
Commercial Information (e.g., purchasing history)	
Electronic identification information (e.g., email, system usage and preferences)	
Identifiers (e.g., name, postal address, unique personal identifiers, online identifiers, IP address, email address)	
Internet or other electronic network activity information (e.g., system and network identification and credentials and usage)	
Image (e.g., photograph, video)	<ul style="list-style-type: none"> · To facilitate safety and security at Caterpillar facilities; and · Other security and risk management purposes.
Vehicle Information (e.g., make, model, license plate)	
Identification Information (e.g., government documents/identifiers)	

If and when permitted by applicable laws, we may also process **Financial Accounts Data, Health Data** (e.g., symptoms of illness, vaccine and treatment information), and **Biometric Information** (e.g., fingerprints). This may constitute Sensitive Personal Information, defined under the PIPL as “personal information that, once leaked or illegally used, may easily cause harm to the dignity of natural persons or grave harm to personal or property security, including information on biometric characteristics, religious beliefs, specially-designated status, medical health, financial accounts, individual location tracking, etc., as well as the personal information of minors under the age of 14.”

- Necessity: Processing may occur where it is necessary to:
 - o Identify or authenticate users and for access control purposes;
 - o Perform services, including maintaining or servicing accounts, providing customer service, processing or fulfilling orders or transactions, verifying customer information, processing payments, providing financing, providing advertising or marketing services, providing analytic services, or similar services;
 - o Manage health and safety at our facilities;
 - o For reasons of public health; or
 - o Comply with applicable laws.

· Influence on your rights and interests: In order to respect your privacy rights and interests, we will only process Sensitive Personal Information where there is a specific purpose and a need to fulfill, and where strict protection measures have been implemented. To the extent your Sensitive Personal Data are processed by us, you will have the rights set forth in Section 4 of this Appendix and you may exercise such rights in accordance with Section 4.

In addition to the purposes identified above, we may also use and share the categories of Personal Information identified above to:

- Disclose to law enforcement or other government agencies (when required by law; to protect Caterpillar, a person or property; to support our business, such as in applications for government grants; and when authorized by you);
- When we have a lawful basis for doing so (including, without limitation, for compliance with a legal obligation, or to protect the security of the data subject), or where it is needed in relation to legal claims or exercise of our rights, or where it is needed to protect your life or physical integrity (or someone else’s life or physical integrity); or
- Otherwise disclose in accordance with directions from you.

Table 2. *Categories of Personal Information; Purposes and Handling Methods of Processing:* Human Resources Data

Categories of Personal Information	Purposes and Handling Methods of Processing
<p>Contact Information of employees and beneficiaries and family members (e.g., name, address, telephone number, emergency contact(s) information)</p> <p>Identification and verification information (e.g., national/taxpayer identification numbers and work permit status)</p> <p>Payroll and Benefits information (e.g., compensation, payroll history, tax records, payment records, bank account information)</p>	<ul style="list-style-type: none"> · Communications with you or your designated contacts; · To facilitate benefits; · Maintenance of accountability of business records; · To meet compliance and legal obligations, including employment-related obligations; · Compliance with corporate financial responsibilities, including audit requirements; · In relation to legal claims or to disclose to law enforcement or other government agencies (when required by law; to protect Caterpillar, a person or property; to support our business, such as in applications for government grants; and when authorized by you);

	<ul style="list-style-type: none"> · To enable physical or remote access to Caterpillar facilities or systems; and · Management of payroll, benefits, and expenses.
Automotive Information (e.g., driving history, vehicle registration, driver's license number)	<ul style="list-style-type: none"> · To facilitate access to Caterpillar facilities (e.g., parking); and · Management of company vehicles.
Professional/Applicant Qualifications Information (e.g., work experience, education, reference information, background/criminal check)	<ul style="list-style-type: none"> · Evaluation and selection of individuals for a role within Caterpillar.
General HR records and Employment-related Information (e.g., work history, performance appraisals, disciplinary processes and reports, goals, business communication content and associated data, attendance, business travel details, work absences)	<ul style="list-style-type: none"> · Workforce management purposes; · Monitoring and evaluation of performance to support decisions (e.g., salary increases, incentives and promotion); · Verification purposes, necessary as evidence in the event of any query/dispute and for the provision of references; · To conduct analytics studies to review and better understand employee retention and attrition rates; · Compliance with corporate financial responsibilities, including audit requirements; · Management of education, training and development; and · To meet compliance and legal obligations, including employment-related obligations.
Health & Safety Information (e.g., safety incidents)	<ul style="list-style-type: none"> · Management of health and safety at facilities.
Personal information obtained from security, monitoring, or an investigation	<ul style="list-style-type: none"> · Prevention and detection of crime or other misconduct; · Management of internal investigations; · In relation to legal claims or to disclose to law enforcement or other government agencies (when required by law; to protect Caterpillar, a person or property; to support our business, such as in applications for government grants; and when authorized by you);and · Other security and risk management purposes.
Personal information processed on our IT systems (e.g., information captured using Caterpillar systems, including any information that you create or upload into those systems).	<ul style="list-style-type: none"> · To facilitate the use of the applicable systems and security of those systems and the conduct of the business; and · Security and fraud prevention activities and internal investigations.

If and when permitted by applicable laws, we may also process sensitive personal information, as defined above. Sensitive personal information may be included within **Health Information** (e.g., prescription records, benefit claims, symptoms of illness, vaccine and treatment information, and the Explanation of Benefits sent in connection with claims) related to, among other things, physical or mental health, disability status, sickness absence, and family related leaves; **Background Information**, (e.g., marital status, race, ethnicity, and drug and alcohol testing);

Financial Account Information (e.g., bank account information, payment records, tax records); and **Biometric Information** (e.g., fingerprints); and Trade Union affiliation.

· Necessity: Processing may occur where it is necessary to achieve the specific purposes as described in this Statement, including:

- o To meet compliance and legal obligations, including employment-related obligations;
- o To ensure your health and safety in the workplace and to assess your fitness to work;
- o To facilitate benefits;
- o For reasons of public health;
- o To provide appropriate workplace adjustments, to monitor and manage and facilitate leaves of absence and to administer benefits;
- o To facilitate dues collection related to trade union membership, maintain contact lists, and perform other business-related activities related to trade union membership;
- o To identify or authenticate users and for access control purposes;
- o To carry out obligations or exercise specific rights in the field of employment and social security law and in line with our Global Data Privacy Statement; or
- o Where it is needed in relation to legal claims or exercise of our rights, or where it is needed to protect your life or physical integrity (or someone else's life or physical integrity).

· Influence on your rights and interests: In order to respect your privacy rights and interests, we will only process Sensitive Personal Information where there is a specific purpose and a need to fulfill, and where strict protection measures have been implemented. To the extent your Sensitive Personal Data are processed by us, you will have the rights set forth in Section 4 of this Appendix and you may exercise such rights in accordance with Section 4.

Section 3. The Retention Period for Personal Information

We will only retain your personal information for as long as necessary to fulfill the purposes for which it was collected, including for the purposes of satisfying any legal, regulatory, accounting, or reporting requirements. Details of retention periods for different aspects of your personal information are available in our data retention policy. To determine the appropriate retention period for personal information, we consider the amount, nature, and sensitivity of the personal information, the potential risk of harm from unauthorized use or disclosure of your personal information, the purposes for which we process your personal information and whether we can achieve those purposes through other means, and the applicable legal requirements, including Article 19 of the PIPL.

Section 4. Transfers of Personal Information

Where authorized, Caterpillar may transfer personal information outside of China. The countries in which overseas recipients are likely to be located currently include the United States of America, the United Kingdom, the Netherlands, Switzerland, Singapore, Japan, and India.

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Where authorized, Caterpillar may transfer personal information to other Personal Information Handlers, including to Caterpillar affiliates that are covered by this Global Data Privacy Statement and to dealers engaged with those Caterpillar companies. For a list of Caterpillar affiliates covered by Caterpillar's Global Data Privacy Statement and the countries or regions in which they are established, see [Schedule A \(List of Caterpillar Data Controllers / Legal Entities](#) of the Global Data Privacy Statement.

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In the event that you are interacting with a Caterpillar company that is performing a cross-border transfer of your personal information to a jurisdiction outside of China and/or performing a transfer of your personal information to

another Personal Information Handler, we will protect such information as described in this Statement and as disclosed to you at the time of data collection or as described in our process-specific privacy notice, if applicable.

Section 5. Methods and Procedures for Individuals to Exercise their Rights

Under certain circumstances, by law you (or in limited situations, your next of kin) have the right to:

- To know and decide relating to your personal information;
- To limit or refuse the handling of personal information by others;
- To access and obtain your personal information;
- To request the transfer of your personal information to another Personal Information Handler;
- To correct your personal information;
- To request deletion of your personal information; or
- To an explanation of the personal information handling rules.

If you want to exercise your right(s) as reflected above, you may do so by using one of the following methods:

- Online: [PRC Individual Rights Request Form](#); or
- Email: dataprivacy@cat.com

If submitting by email; please be sure to include what right(s) you are seeking to invoke and provide what data or information your request is concerning so that your request can be properly and timely addressed. If you are not satisfied with the response, you receive and have supplementary justification to support your request, you may escalate this to Caterpillar's Data Privacy Legal Team, in which case your request will undergo an additional review. You may also lodge a complaint with the applicable supervisory authority with regard to our processing of your personal information.

[END Appendix 7. China]

Schedule A – List of Caterpillar Data Controllers / Legal Entities

Naam LEGAL ENTITY NAME	Adres of overige contactgegevens LEGAL ENTITY ADDRESS	Land COUNTRY NAME	Contact CONTACT (unless otherwise noted, see Section 10)
Anchor Coupling Inc.	5520 13th Street, Menominee, Michigan, 49858-1014, United States	United States	
Asia Power Systems (Tianjin) Ltd.	No 2 Xier Road, Tianjin Port Free Trade Zone, Tianjin 300456, Peoples Republic of China	China	
AsiaTrak (Tianjin) Ltd.	169, HaiBin Jiu Road, Tianjin Port Free Trade Zone, Tianjin 300456, Peoples Republic of China	China	
Banco Caterpillar S.A.	Av. Dr. Chucri Zaidan, 1240, Golden Tower Building - 17th. Walking - Chácara Santo Antônio, São Paulo - SP, 04709-111, Brazil.	Brazil	Antonio Morais (DPO)
Bucyrus International (Chile) Limitada	Av. El Bosque Norte #0177, Oficina 802, P.O. Box 7550100, Las Condes Santiago 6650115, Chile	Chile	
Bucyrus International (Peru) S.A.	Av. Santa Cruz 830, of. 502, Miraflores 18, Peru	Peru	
Caterpillar (Africa) (Proprietary) Limited	Anvil Road, PO Box 197, Isando 1600, South Africa	South Africa	Aneshree Govender (IO) Gerrit Bouma (DIO)

Caterpillar (China) Financial Leasing Co., Ltd.	1701 Caterpillar Tower, 8 Wangjing Street, Beijing Chaoyang District 100102 (Peoples Republic of China)	China	
Caterpillar (China) Investment Co., Ltd.	Rm. 1601 Caterpillar Tower, No. 8 Wangjing Street, Beijing 100102, Peoples Republic of China	China	
Caterpillar (China) Machinery Components Co., Ltd.	No. 16 Xinrong Road, Wuxi National High-tech Industrial Development Zone, Wuxi, Jiangsu 2140128, Peoples Republic of China	China	
Caterpillar (Langfang) Mining Equipment Co., Ltd.	No. 22 Jinyuandongdao, Economic Development Zone Langfang Hebei Province, Peoples Republic of China	China	
Caterpillar (Newberry)	284 Mawsons Way, Newberry, South Carolina 29108, United States	United States	
Caterpillar (NI) Limited	Old Glenarm Road, Co Antrim, Larne BT40 1EJ, Northern Ireland	Northern Ireland	
Caterpillar (Qingzhou) Ltd.	No. 12999 Nanhuan, Qingzhou, Shandong Province 262500, Peoples Republic of China	China	
Caterpillar (Shanghai) Trading Co., Ltd.	A1225, 12th Floor, No 188, Yesheng Road, Pudong New District, Shanghai 201308, Peoples Republic of China	China	
Caterpillar (Suzhou) Co., Ltd.	No. 58 Qi Ming Road Export Processing Zone B, Suzhou Industrial Park, Suzhou Jiangsu 215121, Peoples Republic of China	China	
Caterpillar (Suzhou) Logistics Co., Ltd.	Warehouse No. C22, Suzhou GLP Park, No. 152 Qian Ren Street, Wei Ting Town, Suzhou Industrial Park, Suzhou, angsu Province 21512, Peoples Republic of China	China	
Caterpillar (Thailand) Limited	1760 Sukhumvit 52-54, Bangchak Sub-District, Prakanong District, Bangkok Metropolis 10260, Thailand	Thailand	
Caterpillar (U.K.) Limited	Peckleton Lane, Desford Leicester LE9 9JT, England & Wales	United Kingdom	
Caterpillar (Wujiang) Ltd.	South District of Jinshanqiao Development Zone, Xuzhou Jiangsu 221004, Peoples Republic of China	China	
Caterpillar (Xuzhou) Ltd.	South District of Jinshanqiao Development Zone, Xuzhou Jiangsu 221004, Peoples Republic of China	China	
Caterpillar (Zhengzhou) Ltd.	Dongzhuang Village, Guangwu Town, Xingyang City, Zhengzhou, Henan Province, Peoples Republic of China	China	
Caterpillar Asia Pte. Ltd.	7 Tractor Road, Singapore 627968, Singapore	Singapore	Zhiquin Wu (DPO)
Caterpillar Brasil Comercio de Maquinas e Pecas Ltda.	Rodovia Luiz de Queiroz, no number, Buildings AS, Room B, and L1, Column B04, Unileste District, Piracicaba Sao Paulo 13420-900, Brazil	Brazil	Roberta Papetti (DPO)
Caterpillar Brasil Ltda.	Rodovia Luiz de Queiróz , km 157, s/n, Distrito Unileste, Piracicaba Sao Paulo 13420-900, Brazil	Brazil	Roberta Papetti (DPO)
Caterpillar Castings Kiel GmbH	Falckensteiner Str. 2, Kiel 24159, Germany	Germany	Regine Oppelland (DPO)
Caterpillar Centro de Formacion, S.L.	Camino de Caterpillar, 2 Santa Rosalia-Maqueda, Malaga E 29591, Spain	Spain	
Caterpillar Commercial Northern Europe Limited	Peckleton Lane, Desford, Desford LE9 9JT, England & Wales	United Kingdom	
Caterpillar Commercial S.A.R.L.	84 Rue Charles Michels, Hall C, Saint-Denis 93200, France	France	
Caterpillar Commercial Services S.A.R.L.	40 avenue Leon Blum, Grenoble Cedex 9 38100, France	France	
Caterpillar Crédito, S.A. de C.V., SOFOM, E.N.R.	Corporativo Santa Maria Boulevard Diaz Ordaz 130 Pte, Torre 4, Piso 11 Colonia Santa Maria, C.P. 64650 Monterrey, Nuevo Leon, Mexico	Mexico	
Caterpillar Distribution Services Europe B.V.B.A.	Humbeeksesteenweg 98, Grimbergen B-1850, Belgium	Belgium	
Caterpillar Energy Solutions Asia Pacific Pte. Ltd.	11 Kian Teck Road, Singapore 628768, Singapore	Singapore	Janice Tan (DPO)

Caterpillar Energy Solutions GmbH	Carl-Benz-Str. 1, 68167, Mannheim, Germany	Germany	Beatrice Brauchler (DPO)
Caterpillar Energy Solutions Inc.	1750 Breckinridge Parkway, Ste 500, Duluth, Georgia, 30096, United States	United States	
Caterpillar Energy Solutions, S.A.	Avenida de los Artesanos 50, 28760, Tres Cantos, Madrid, Spain	Spain	
Caterpillar Energy Systems Technology (Beijing) Co., Ltd.	CES (Beijing) Co., Ltd., Room 2-02, CITIC Building Tower A No. 19 Jianguomen Wai Street, Chaoyang District, Beijing 100004, Peoples Republic of China	China	
Caterpillar Eurasia LLC	75, Sadovnicheskaya emb. Moscow 115035 Russia	Russia	Olga Kuzmina
Caterpillar Finance France S.A.	84 Rue Charles Michels, Saint Denis Cedex 93284, France	France	
Caterpillar Finance Kabushiki Kaisha	7-1, Minatomirai 3-chome, Nishi-ku, Yokohama-shi, Kanagawa-ken 2200012, Japan	Japan	
Caterpillar Financial Australia Leasing Pty Ltd	1 Caterpillar Drive, Tullamarine Victoria 3043, Australia	Australia	
Caterpillar Financial Australia Limited	1 Caterpillar Drive, Tullamarine Victoria 3043, Australia	Australia	
Caterpillar Financial Commercial Account Corporation	2120 West End Avenue, Nashville Tennessee 37203-0001	United States	
Caterpillar Financial Corporacion Financiera, S.A., E.F.C.	Via de las dos Castillas No 33, 4th Floor, Edificio Atica 6, 28224 Pozuelo de Alarcon, Madrid 28000, Spain	Spain	
Caterpillar Financial Dealer Funding LLC	2120 West End Avenue Nashville Tennessee 37203 United States	United States	
Caterpillar Financial Kazakhstan Limited Liability Partnership	69, Tolebi str., Almaty (Kazakhstan)	Kazakhstan	
Caterpillar Financial Leasing (Shanghai) Co., Ltd.	Unit 251, Floor 3, A5 Building, Shanghai Pilot Free Trade Zone, China	China	
Caterpillar Financial New Zealand Limited	Level 13, 34 Shortland Street, Auckland 1150, New Zealand	New Zealand	
Caterpillar Financial Nordic Services AB	PO Box 115, Svardvagen 3B, 194 22 Upplands, Vasby 660 57, Sweden	Sweden	
Caterpillar Financial OOO	Floor 3, Building 75, Sadovnicheskaya naberezhnaya, Moscow 115035 (Russia)	Russia	
Caterpillar Financial Renting S.A.	Vía de las Dos Castillas, No. 33, Edificio Ática 6, Planta 4a, 28224 Pozuelo de Alarcón (Madrid), Spain	Spain	
Caterpillar Financial SARL	Muehlebachstrasse 43, CH-8008, Zurich 8008 Switzerland	Switzerland	
Caterpillar Financial Services (Dubai) Limited	Dubai International Financial Centre (DIFC), The Gate Village, Building 5, Level 2 PO Box 506590, Dubai, United Arab Emirates	United Arab Emirates	
Caterpillar Financial Services (Ireland) p.l.c.	Riverside One, Sir John Rogerson's Quay, Dublin 2, Ireland	Ireland	
Caterpillar Financial Services (UK) Limited	Friars Gate, 1011 Stratford Road, Shirley, Solihull, West Midlands, B90 4BN, England & Wales	United Kingdom	
Caterpillar Financial Services Argentina S.A.	Butty 275, Piso 11, Ciudad Autonoma de Buenos Aires, Buenos Aires C1043AAQ, Argentina	Argentina	

Caterpillar Financial Services Asia Pte. Ltd.	14 Tractor Road, Singapore 627973, Singapore	Singapore	Fynn Tay (DPO)
Caterpillar Financial Services Belgium S.P.R.L.	Brusselsesteenweg 340, 3090 Overijse, Belgium	Belgium	
Caterpillar Financial Services Corporation	2120 West End Avenue, Nashville, Tennessee 37203-0001, United States	United States	
Caterpillar Financial Services CR, s.r.o.	Lipova 72, Modletice 251 70, Czech Republic	Czech Republic	
Caterpillar Financial Services GmbH	Lise-Meitner, Str. 3, Ismaning D-85737, Germany	Germany	Werner Diessner (DPO)
Caterpillar Financial Services Limited Les Services Financiers Caterpillar Limitee	3457 Superior Court, Unit 2, Oakville Ontario L6L 0C4, Canada	Canada	
Caterpillar Financial Services Malaysia Sdn. Bhd.	No. 1 Jalan Puchong, Perindustrian Puchong Utama, Sleangor 47100, Malaysia	Malaysia	
Caterpillar Financial Services Netherlands B.V.	Rondebeltweg 41, Almere 1329 BP, Netherlands	Netherlands	
Caterpillar Financial Services Norway AS	Cort Adelers gate 16, P.O. Box 1388 Vika, Oslo 0114, Norway	Norway	
Caterpillar Financial Services Philippines Inc.	#13 Economia Street, 1110 Bagumbayan, Quezon City Metro Manila 1100, Philippines	Philippines	
Caterpillar Financial Services Poland Sp. z o.o.	51, Prosta Street, Warsaw 00-838, Poland	Poland	
Caterpillar Financial Services South Africa (Pty) Limited	7a Lindsay Street Wifontein, Kempton Park Johannesburg 1620 (South Africa)	South Africa	Aneshree Govender (IO) Jarek Myszkowski (IO)
Caterpillar Financial Ukraine LLC	34 Vasilkovskaya, of. 326B, Kiev 03022 Ukraine	Ukraine	
Caterpillar Fluid Systems S.r.l.	Via Giobetti nr. 2/A Palazzo C, 20063 Cernusco sul Naviglio MI., Italy	Italy	
Caterpillar Forest Products Inc.	100 NE Adams Street, Peoria, Illinois 61629, United States	United States	
Caterpillar France S.A.S.	40 Avenue Leon-Blum, Boite Postal 55, Grenoble Cedex 9 F-38041, France	France	
Caterpillar FS (QFC) LLC	Office 814, 8th Floor Al Fardan Office Tower Al Funduq 61, West Bay Dubai, Doha (United Arab Emirates)	United Arab Emirates	
Caterpillar Global Mining LLC	875 W Cushing Street Tucson Arizona 85745 (United States)	United States	
Caterpillar Global Mining Europe GmbH	Industriestrasse 1, Lünen D-44534, Germany	Germany	Claudia Panse (DPO)
Caterpillar Global Mining HMS GmbH	Karl-Funke-Strasse 36, Dortmund 44149, Germany	Germany	Sven Staudinger (DPO)
Caterpillar Global Mining Equipment LLC	3501 S. FM Hwy 1417 Denison Texas 75020 United States	United States	
Caterpillar Global Mining Mexico LLC	10 Finegan Road, Del Rio, Texas 78840, United States	United States	

Caterpillar Holdings Australia Pty. Ltd.	Level 20 300 Adelaide Street Brisbane Queensland 4000 (Australia)	Australia	
Caterpillar Hungary Components Manufacturing Ltd.	2117 Isaszeg, Hrsz, Isaszeg 0185/3, Hungary	Hungary	
Caterpillar Hydraulics Italia S.r.l.	Via Andrea Costa, 73/2, Bologna 40134, Italy	Italy	
Caterpillar Inc.	100 NE Adams Street, Peoria, Illinois 61629, United States	United States	
Caterpillar India Private Limited	7th Floor, International Tech Park, Chennai Taramani Road, Taramani, Chennai Chennai Tamil Nadu 600 113, India	India	
Caterpillar Industrias Mexico, S. de R.L. de C.V.	Carretera a Villa de Garcia km. 4.5 Santa Catarina, Nuevo Leon, Mexico CP. 66350 (Mexico)	Mexico	
Caterpillar Industries (Pty) Ltd	7A Lindsay Street, Wifontein, Kempton Park, Gauteng 1620 (South Africa)	South Africa	Aneshree Govender (IO) Lourens Gerber (DIO)
Caterpillar Insurance Co. Ltd.	2120 West End Avenue, Nashville, Tennessee 37023-0001, United States	United States	
Caterpillar Insurance Services Corporation	2120 West End Avenue Nashville Tennessee 37203-0001 (United States)	United States	
Caterpillar Insurance Company	2120 West End Avenue Nashville Tennessee 37203-0001 (United States)	United States	
Caterpillar International Finance Luxembourg, S.a.r.l.	4a, rue Henri Schnadt, Luxembourg L-2530, Luxembourg	Luxembourg	
Caterpillar International Luxembourg I S.a.r.l.	4A, Rue Henri M. Schnadt, L-2530, Luxembourg	Luxembourg	
Caterpillar International Luxembourg II S.a.r.l.	4A, Rue Henri M. Schnadt, L-2530, Luxembourg	Luxembourg	
Caterpillar International Services del Peru S.A.	Jr. Cristóbal de Peralta Norte 820, Surco, Lima, Peru	Peru	
Caterpillar Japan LLC	7-1, Minatomirai 3-chome, Nishi-ku, Yokohama-shi, Kanagawa-ken 2200012, Japan	Japan	
Caterpillar Latin America Services de Mexico, S. de R.L. de C.V.	Carretera a Villa de Garcia KM 4.5, Santa Catarina Nuevo Leon CP 66350, Mexico	Mexico	
Caterpillar Latin America Services de Panama, S. de R.L.	Business Park, Torre Oeste, Piso 1, Esquina de la Ave Principal y Ave La Rotonda, Costa del Este, Ciudad de Panama, Panama	Panama, Republic of	
Caterpillar Latin America Servicios de Chile Limitada	Rosario Norte 407, Piso 14, Las Condes Santiago Chile	Chile	
Caterpillar Latin America Support Services, S. DE R.L.	Edificio Customer Center, Caterpillar Campus, Carretera Conectora Oeste, Area Panama-Pacífico, Veracruz, Distrito de Arraijan, Provincia de Panama, Panama	Panama, Republic of	
Caterpillar Leasing (Thailand) Limited	1760 Sukhumvit Road, Bangkok Sub-district, Phrakonong District, Bangkok 10150, Thailand	Thailand	
Caterpillar Leasing Chile, S.A.	Rosario Norte 407, Piso 14, Las Condes, 7561156, Santiago, Chile	Chile	
Caterpillar Life Insurance Company	2120 West End Avenue Nashville Tennessee 37203-0001 (United States)	United States	

Caterpillar Logistics (Shanghai) Co. Ltd.	500 Ton Shun Avenue, Shanghai, Peoples Republic of China	China	
Caterpillar Logistics (UK) Limited	Eastfield, Peterborough PE1 5FQ, England & Wales	United Kingdom	
Caterpillar Logistics Inc.	100 NE Adams Street, Peoria, Illinois 61629, United States	United States	
Caterpillar Luxembourg S.a.r.l.	4a, rue Henri Schnadt, Luxembourg L-2530, Luxembourg	Luxembourg	
Caterpillar Machinery Nantong Co Ltd	No. 18 Zhusong Road, Xitong Technology Industrial Zone, Tongzhou District, Nantong City, Jiangsu, Peoples Republic of China	China	
Caterpillar Marine Asia Pacific Pte. Ltd.	7 Tractor Road, Singapore 627968, Singapore	Singapore	Xiangpeng Xie (DPO)
Caterpillar Marine Power UK Limited	22 Cobham Road, Ferndown Industrial Estate Co Dorset, Wimborne BH21 7PG, England & Wales	United Kingdom	
Caterpillar Marine Trading (Shanghai) Co., Ltd.	333 Futexi First Road, Room B8 4th Floor Changcheng Building, Waigaoqiao FTZ 200131, Peoples Republic of China	China	
Caterpillar Maroc SARL	Route Desserte des Usines, Autoroute Casablanca-Rabat (km 11,6) Ain Sebaa, Casablanca 20250, Morocco	Morocco	
Caterpillar Materiels Routiers SAS	21 Avenue Jean Jaures, BP 2F, Rantigny F-60290, France	France	
Caterpillar Mexico, S.A. de C.V.	Carretera a Villa de Garcia KM 4.5 Santa Catarina Nuevo Leon CP 66350 (Mexico)	Mexico	
Caterpillar Mining Chile Servicios Limitada	Rosario Norte 407, piso 14 Las Condes, Santiago, Chile	Chile	
Caterpillar Motoren (Guangdong) Co. Ltd.	Shizhou Industrial Estate Chencun Town, Shunde District, Foshan City Guangdong 528314, Peoples Republic of China	China	
Caterpillar Motoren GmbH & Co. KG	Falckensteiner Strasse 2, Kiel 24159, Germany	Germany	Regine Oppelland (DPO)
Caterpillar Motoren Henstedt-Ulzburg GmbH	Rudolf-Diesel-Str. 5-9, Henstedt-Ulzburg 24558, Germany	Germany	Regine Oppelland (DPO)
Caterpillar Motoren Rostock GmbH	Werftallee 3, Rostock 18119, Germany	Germany	Regine Oppelland (DPO)
Caterpillar of Australia Pty. Ltd.	1 Caterpillar Drive, Tullamarine Victoria 3043, Australia	Australia	
Caterpillar of Canada Corporation	3700 Steeles Avenue West, Suite 902, Woodbridge Ontario L4L 8K8, Canada	Canada	
Caterpillar Operator Training Ltd.	1-1 Ichinomiya 7-chome, Samukawa-machi, koza-gun, Kanagawa-ken 2530111, Japan	Japan	
Caterpillar Panama Services S.A.	Edificio Regional Shared Services Center, Caterpillar Campus, Carretera Conectora Oeste, Area Panama-Pacifico, Veracruz, Distrito de Arraijan, Provincia de Panama, Panama	Panama, Republic of	
Caterpillar Paving Products Inc.	9401 85th Avenue N, Brooklyn Park, Minnesota 55445-2199, United States	United States	
Caterpillar Paving Products Xuzhou Ltd.	South District of Jinshanqiao Development Zone, Xuzhou Jiangsu Province 221004, Peoples Republic of China	China	
Caterpillar Poland Sp. z o.o.	U1 Lubielski 74, 23 300 Janow, Lubelski 23-300, Poland	Poland	
Caterpillar Power Generation Systems (Bangladesh) Limited	Ittefaq Bhaban, 1st floor, 1 R. K. Mission Rd., Motijheel, Dhaka 1203	Bangladesh	
Caterpillar Precision Seals Korea	538-5, Segyo-dong, Pyeongtaek-si Gyeonggi-do 450-818, Korea, South	Korea	

Caterpillar Prodotti Stradali S.r.l.	Via IV Novembre 2, Minerbio Bologna I-40061, Italy	Italy	
Caterpillar Propulsion AB	Tarnvagen 15, Hono 47540, Sweden	Sweden	
Caterpillar Propulsion International Trading (Shanghai) Co., Ltd.	6F, Lei Shing International Plaza No. 1319, West Yan'an Road, Shanghai 20050, Peoples Republic of China	China	
Caterpillar Propulsion Production AB	Langesand 1, Box 1005, Ockero 47522, Sweden	Sweden	
Caterpillar Propulsion Pte Ltd	No. 5 Tukang Innovation Grove, .618304, Singapore	Singapore	
Caterpillar Propulsion Singapore Pte Ltd	87 Tuas South Avenue 1, . 637419, Singapore	Singapore	
Caterpillar Ramos Arizpe Services, S.A. de C.V	Boulevard Industria de la Transformacion No 3135 Parque Industrial Saltillo-Ramos Arizpe Coahuila 25000 (Mexico)	Mexico	
Caterpillar R & D Center (China) Co., Ltd.	Lot B6-D, National High-Tech Development Zone, Wuxi, Jiangsu 214028, Peoples Republic of China	China	
Caterpillar Reman Powertrain Indiana LLC	100 NE Adams Street, Peoria, Illinois 61629, United States	United States	
Caterpillar Remanufacturing Drivetrain LLC	100 NE Adams St Peoria Illinois 61629 United States	United States	
Caterpillar Remanufacturing Services (Shanghai) Co., Ltd.	Plant 3#, Lingang Industrial Park, 1555 Cenglin Road, Pudong, Shanghai 201306, Peoples Republic of China	China	
Caterpillar Renting France S.A.S.	84 Rue Charles Michels, Saint Denis Cedex 93284, France	France	
Caterpillar Reynosa, S.A. de C.V.	Carretera Reynosa Matamoros Brecha E-99 SN, Parque Industrial Reynosa, Reynosa Tamaulipas C.P. 88780, Mexico	Mexico	
Caterpillar SARL	Route de Frontenex 76, 1208 Geneva, Switzerland	Switzerland	
Caterpillar Services Germany GmbH	Falckensteiner Str. 2, 24159 Kiel, Germany	Germany	Peter Henningsen (DPO)
Caterpillar Servicios Limitada	Rosario Norte 407, Piso 14, Las Condes, 7561156, Santiago, Chile	Chile	
Caterpillar Servicios Mexico, S. de R.L. de C.V.	Carretera a Villa de Garcia Km 4.5, Santa Catarina Nuevo Leon CP 66350, Mexico	Mexico	
Caterpillar Servizi Italia Srl	Via IV Novembre 2, Minerbio 40061, Italy	Italy	
Caterpillar Shrewsbury Limited	Lancaster Road, Shrewsbury, Shropshire SY1 3NX, England & Wales	United Kingdom	
Caterpillar Skinningrove Limited	Skinningrove Works, Carlin How, Saltburn By The Sea, Cleveland England TS13 4EE, England & Wales	United Kingdom	
Caterpillar Southern Africa (Pty) Ltd.	Gallagher Convention Centre, 19 Richards Road, Halfway House, Midrand 1685, South Africa	South Africa	Aneshree Govender (IO) Stephane Latini (DIO)
Caterpillar Tianjin Ltd.	No. 25, Huanhe West Road, Tianjin Airport Economy Area, Tianjin 300308, Peoples Republic of China	China	
Caterpillar Tosno, L.L.C.	1/1 Moskovskoye shosse, Leningradskaya Oblast, Tosno 187000, Russian Federation	Russia	
Caterpillar Tunneling Canada Corporation	3190 Orlando Drive, Unit A, Mississauga Ontario L4V 1R5, Canada	Canada	
Caterpillar Undercarriage (Xuzhou) Co., Ltd.	No 8 Jinchuan Road, Xuzhou Economic and Technological Development Zone, Xuzhou, Peoples Republic of China	China	

Caterpillar Underground Mining Pty. Ltd.	2-8 Hopkinson Street, South Burnie Tasmania 7320, Australia	Australia	
Caterpillar Used Equipment Services Inc.	100 NE Adams Street, Peoria, Illinois 61629, United States	United States	
Caterpillar Work Tools B.V.	400 Work Tool Drive, Wamego Kansas 66547-1299, United States	United States	
Caterpillar Work Tools, Inc.	400 Work Tool Drive, Wamego Kansas 66547-1299, United States	United States	
ECM S.p.A.	Serravalle Pistoiese (PT), Via IV Novembr 29 Frazione Cantagrillo	Italy	
EDC European Excavator Design Center GmbH & Co. KG	Karl-Rapp Strasse 1, Wackersdorf 92442, Germany	Germany	Claudia Panse (DPO)
Electro-Motive Diesel Limited	Electro-Motive Diesel Limited c/o Perkins Engines Company Limited Eastfield, Frank Perkins Way	England	
Electro-Motive Locomotive Technologies LLC	75 Sadovnicheskaya emb. 115035 Moscow	Russia	
Electro-Motive Technical Consulting Co. (Beijing) Ltd.	Room 1601 Caterpillar Tower No.8 Wangjing Street Chaoyang District Beijing 100102 P.R. China	China	
Equipos de Acuña, S.A. de C.V.	Km 8.5 Carr. Presa Amistad, CD Acuna MX 26220, Mexico	Mexico	
GFCM Comercial México, S.A. de C.V., SOFOM, ENR	Corporativo Santa Maria Boulevard Diaz Ordaz 130 Pte, Torre 4, Piso 11 Colonia Santa Maria, C.P. 64650 Monterrey, Nuevo Leon, Mexico	Mexico	
GFCM Servicios, S.A de C.V	Corporativo Santa Maria Boulevard Diaz Ordaz 130 Pte, Torre 4, Piso 11 Colonia Santa Maria, C.P. 64650 Monterrey, Nuevo Leon, Mexico	Mexico	
Kemper Valve & Fittings Corp.	3001 Darrell Road Island Lake Illinois 60042 (United States)	United States	
Mec-Track S.r.l.	Via Muzza Spadetta 30, Bazzano Bologna I-40053, Italy	Italy	
Motoren Steffens GmbH	Geefacker 63, Kleve 47533, Germany	Germany	
MWM Austria GmbH	Munchner Strabe 22, A-6130 Schwaz, Austria	Austria	
MWM Benelux B.V.	Soerweg 13, 3088 GR, Rotterdam, Netherlands	Netherlands	
MWM Energy Australia Pty Ltd	1 Caterpillar Way, Tullamarine Vic 3043, Australia	Australia	
MWM France S.A.S.	99 Avenue Louis Roche Gennevilliers 92230 (France)	France	
Nippon Caterpillar LLC	32-2, Honcho 1 Chome Nakano-Ku, Tokyo, 1640012, Japan	Japan	
PT Caterpillar Finance Indonesia	The Garden Centre Building, Suite No. 5-12 Cilandak Commercial Estate, Jalan Raya Cilandak KKO Jakarta 12560 Indonesia	Indonesia	
P. T. Solar Services Indonesia	Landmark Center, Tower A 10th Floor, Jl. Jendral Sudirman No. 1, Jakarta 12910, Indonesia	Indonesia	
Perkins Engines (Asia Pacific) Pte Ltd	7 Tractor Road, Singapore 627968, Singapore	Singapore	Zhiquin Wu (DPO)
Perkins Engines Company Limited	Eastfield, Peterborough PE1 5FQ, England & Wales	United Kingdom	
Perkins Engines, Inc.	11 East Chase Street, Baltimore, Maryland 21202, United States	United States	
Perkins India Private Limited	7th Floor, International Tech Park, Teramani Road, Teramani, Chennai 600 113, India	India	
Perkins Machinery (Changshu) Co., Ltd.	Building 6, Advanced Manufacture Center No 788, DongNan Road, Changshu 215500 (Peoples Republic of China)	China	
Perkins Motores do Brasil Ltda.	Rua Joao Che de 2489 CIC, Curitiba Parana 81170-220, Brazil	Brazil	Elisabeth Hass (DPO)
Perkins Power Systems Technology (Wuxi) Co., Ltd.	No.8 Xinchang South Road, Wuxi National Hi- tech Development Zone, Jiangsu, Peoples Republic of China	China	
Perkins Small Engines (Wuxi) Co., Ltd.	No. 10 South Xinchang Road, Wuxi Jiangsu 214142, Peoples Republic of China	China	

Progress Rail Arabia Limited Company	Al Nakhlah Tower King Fahd Road & Thumamah Road Interchange Riyadh, Saudi Arabia	Kingdom of Saudi Arabia	
Progress Rail Australia Pty Ltd	Level 1, 7K Parkes Street Harris Park NSW 2150 (Australia)	Australia	
Progress Rail Canada Corporation	1600 Progress Drive PO Box 1037 Albertville, Al 35950	Canada	
Progress Rail de Mexico, S.A. de C.V.	Pino Suarez 300 7 Monterrey Centro Monterrey, Nuevo Leon CP 64000 Mexico	Mexico	
Progress Rail Equipamentos e Servicos Ferroviarios do Brasil Ltda.	Estr. Carlos Roberto Prativiera - Jardim Sao Jorge Hortolandia - SP Brazil	Brazil	Hercules de Luna (DPO)
Progress Rail Equipment Leasing Corporation	1600 Progress Drive PO Box 1037 Albertville, Al 35950	USA	
Progress Rail Innovations Private Limited	D149-153, Hosiery Complex, Phase II Extn., Neida 201305, India	India	
Progress Rail Inspection & Information Systems GmbH	Carl-Benz-Str. 1 D-68167 Mannheim, Germany	Germany	Michael Stella (DPO)
Progress Rail Locomotivas (do Brasil) Ltda.	Rua Georg Rexroth, 609, Bloco D. conjuntos 1 e 2 Jardim Padre Anchieta Diadema Sao Paulo 09951-270 (Brazil)	Brazil	Hercules de Luna (DPO)
Progress Rail Locomotive Canada Co.	11420-184 Street Edmonton AB Canada T5S 2W7	Canada	
Progress Rail Locomotive Inc.	9301 W 55th Street LaGrange, IL 60525	USA	
Progress Rail Maintenance de Mexico, S.A. de C.V.	Washington S/N, Col. - Ferrocarril, C.P. , Guadlajara 44440, Mexico	Mexico	
Progress Rail Manufacturing Corporation	3500 S. Cowan Road Muncie Indiana 47302-9555	USA	
Progress Rail Raceland Corporation	1600 Progress Drive PO Box 1037 Albertville, Al 35950	USA	
Progress Rail SA Proprietary Limited	33 Kambathi Street N4 Gateway Industrial Park Willow Park Manor X65 Gauteng 0184 South Africa	South Africa	Aneshree Govender (IO) Barend Hanekom (IO)
Progress Rail Services Corporation	1600 Progress Drive PO Box 1037 Albertville, Al 35950	USA	
Progress Rail Services UK Limited	Osmaston Street Sandiacre Nottingham NG10 5AN UK	England	
Progress Rail Transcanada Corporation	1600 Progress Drive PO Box 1037 Albertville, Al 35950	USA	
Progress Rail Welding Corporation	1600 Progress Drive PO Box 1037 Albertville, Al 35950	USA	
PT. Bucyrus Indonesia	Beltway Office Park, Building C, Level 3, Unit 03-02, Jl. TB Simatupang No. 41, Kelurahan Ragunan Kecamatan, Pasar Minggu Jakarta Selatan 12550, Indonesia	Indonesia	
PT. Caterpillar Indonesia	Jl. Raya Naragong KM. 19 Cileungsi Bogor Jawa Barat 16820 Indonesia	Indonesia	
PT. Caterpillar Indonesia Batam	Jl. Brigjen Katamso KM. 6, Kel. Tanjung Uncang, Batam, Indonesia	Indonesia	
PT. Caterpillar Remanufacturing Indonesia	Jl. Raya Naragong KM, 19 Cileungsi Bogor, Jawa Barat 16820, Indonesia	Indonesia	
S&L Railroad, LLC	1600 Progress Drive PO Box 1037 Albertville, Al 35950		
SCM Singapore Holdings Pte Ltd	7 Tractor Road, Singapore 048620, Singapore	Singapore	
Servicios de Turbinas Solar, S. de R.L. de C.V.	Av. Framboyanes, MZ 6, Lotes 1-15, Cd. Ind. Bruno Pagliai, Veracruz C.P. 91697, Mexico	Mexico	
Solar Turbines (Beijing) Trading	Room 2103 China Life Tower, No. 16, Chaowaidajie, Chaoyang District, Beijing 100020, Peoples Republic of China	China	

& Services Co., Ltd.			
Solar Turbines (Thailand) Ltd.	No.5 Ramkhumheang Road, Huamark, Bangkok, Bangkok 10240, Thailand	Thailand	
Solar Turbines Canada Ltd. / Ltee	2510 84th Avenue, Edmonton, Alberta T6P, 1k3, Canada	Canada	
Solar Turbines CIS Limited Liability Company	Osennyi boulevard, 23 Moscow 121609	Russia	
Solar Turbines EAME s.r.o.	Bucharova 1281/2, 158 00 Prague 5 Czech Republic	Czech Republic	
Solar Turbines Egypt Limited Liability Company	44 Palestine Street, New Maadi Vairo, Cairo, Egypt	Egypt	
Solar Turbines Europe S.A.	Avenue des Etats Unis 1, Gosselies B 6041, Belgium	Belgium	
Solar Turbines Incorporated	2200 Pacific Highway, San Diego, California 92101, United States	United States	
Solar Turbines India Private Limited	202, 2nd Floor, Hiranandani Business Park, Powai, Mumbai, 400076, India.	India	
Solar Turbines International Company	2200 Pacific Highway, San Diego, California 92101, United States	United States	
Solar Turbines Italy S.R.L.	via Battistini 21A, Parma 43100 Italy	Italy	
Solar Turbines Malaysia Sdn Bhd	Lot 6.05, Level 6, KPMG Tower, 8 First Avenue, Bandar Utama, Petaling Jaya Selangor Darul Ehsan 47800, Malaysia	Malaysia	
Solar Turbines Middle East Limited	PO Box 9275, c/o Al Tammi & Company, Advocates and Legal Consultants, 15th Floor, the Maze Tower, Dubai, UAE	United Arab Emirates	
Solar Turbines Services Company	2200 Pacific Highway, San Diego, California 92101, United States	United States	
Solar Turbines Services Nigeria Limited	Plot 133, Trans Amadi Industrial Estate, Redeem Road, Oginigba Port Harcourt Nigeria	Nigeria	
Solar Turbines Services of Argentina S.R.L.	Maipu 1210, Buenos Aires Argentina	Argentina	
Solar Turbines Switzerland Sagi	Camoagna 15, Riazzino, 6595, Switzerland	Switzerland	
Solar Turbines Trinidad & Tobago Limited	48-50 Sackville Street, PO Box 75, Port of Spain, Trinidad and Tobago	Trinidad & Tobago	
Solar Turbines West-Africa SARL	Face à l'entrée de Collège Victor Hugo, quartier SBOM, BP, 2765 Port-Gentil, Gabon	Gabon	
Tecnologia Modificada, S.A. de C.V.	Transformacion No 545, Parque Industrial FINSA, Nuevo Laredo, Tamaulipas CP 88275, Mexico	Mexico	
Tokyo Rental Ltd.	32-2, Honcho 1-chome, Nakano-ku, Tokyo 1640012, Japan	Japan	
Turbinas Solar de Columbia S.A.	Calle 70 # 4-60, Bogota D.C., Colombia	Colombia	
Turbinas Solar de Venezuela, C.A.	Avenida Jorge Rodriguez, Sector las Garzas, Torre B.V.C., Piso 6, Oficina 6R, Puerto La Cruz, Estado Anzoategui Venezuela	Venezuela	
Turbinas Solar S.A. de C.V.	Av. Framboyanes, MZ 6, Lotes 1-15, Cd. Ind. Bruno Pagliai, Veracruz C.P. 91697, Mexico	Mexico	
Turbo Tecnologia de Reparaciones S.A. de C.V.	Calle Chilpancingo 361, Parque Industrial Francionamiento Chilpancingo, Tijuana 22440, Mexico	Mexico	
Turbomach Endustriyel Gaz Turbinleri Sanayi Ve Ticaret Limited	Kavacik Mah. Sehit, Tegmen Ali Yilmaz Sok. No: 13, Guven Sazak Plaza A Blok, Kat:1 TR-34810 Beykoz, Istanbul Turkey	Turkey	
Turbomach France S.A.R.L.	11 rue de la Mare a Tissier, BP73, St-Pierre-Du-Perray FR-91280, France	France	
Turbomach GmbH	Weisenstrasse 10-12, Griesheim 64347, Germany	Germany	STREIT GmbH Managementsysteme Lahnstraße 27-29, 64625 Bensheim Mail: DS-

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Turbomach Netherlands B.V.	Rijksstraatweg 22 G, 2171 AL Sassenheim 1329BD, The Netherlands	Netherlands	
Turbomach Pakistan (Private) Limited	32-K, B-1 Gulberg II, Lahore 54000, Pakistan	Pakistan	
Turbomach S.A. Unipersonal	via Campagna 15, Riazino 6595, Switzerland	Spain	
Turbomach Sp.Zo.o.	ul. Mikolowska 7, 44-100, Gliwice, Poland	Poland	
Turner Powertrain Systems Limited	Racecourse Road, West Midlands, Wolverhampton England WV6 0QT, England & Wales	United Kingdom	