

Information submitted via Top Hat Plan Statement Online Filing System to U. S.  
Department of Labor under 29 CFR 2520.104-23

Date Completed: 11/17/2020 11:35 AM EST

Confirmation Number: 7208

Amended Confirmation Number:

Employer Information

Name: Caterpillar Inc.  
Address: 520 Lake Cook Rd.  
City: Deerfield  
State: IL  
Zip Code: 60015

Plan Administrator Information

Name: Caterpillar Inc.  
Address: 100 N.E. Adams Street  
City: Peoria  
State: IL  
Zip Code: 61629  
Phone: 3096751000  
Email: Park\_Lisa@cat.com

Plan Information

Employer maintains the plan or plans below primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees.

ID:1	Plan Name:	Caterpillar Inc. Section 409A Compliance Deferred Compensation Plan	Number of Employees: 1
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Additional Information:



U. S. Department of Labor  
Employee Benefits Security Administration  
Washington, DC 20210

This message confirms that the Department of Labor's (DOL's) Employee Benefits Security Administration (EBSA) has received the filing of your Top Hat Plan Statement. The confirmation code for your filing is 7208. When correcting errors to your filing, please use this code in your amended statement. This communication does not mean that DOL has made a determination that you are eligible to file under DOL regulation 29 CFR 2520.104-23.