

Caterpillar Retiree United Way

Frequently Asked Questions – 2013-2014

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GENERAL QUESTIONS

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1. Why does Caterpillar have a corporate campaign?

The corporation and its employees and retirees are supportive of United Way, but Caterpillar realized that the various campaigns held by each agency were starting to overwhelm employees at work. In the early 1950s, Caterpillar created a corporate campaign that would be conducted internally for employees through the United Way, rather than invite each of the hundreds of agencies to solicit the employees individually.

2. Who pays the administrative cost for Caterpillar to coordinate the campaign?

Caterpillar pays 100% of all expenses associated with the campaign (supplies, administrative costs, etc.). Every penny of retirees contributions go to the participating United Ways.

3. How much of the total retiree contribution to the campaign go to the local United Ways?

100% of all retiree contributions to the campaign go directly to the United Ways.

4. How much of my contribution to the United Way is distributed to local agency?

This varies with each local United Way. The majority of the funds will go directly to agencies, but United Ways also have administrative costs. For instance, the Heart of Illinois United Way (HOIUW) sends 89 cents per dollar to agencies. The rest is used to offset administrative costs. However, gift designated to specific agencies receive 100% of the retiree dollars with no administrative costs.

5. Who determines which United Ways are part of the campaign?

The online pledging system allows all United Way in the U.S. to participate in the campaign. However it is the local United Way's responsibility to update their system with the appropriate funded programs and impact areas to allow donors the ability to designate to a particular agency.

6. Who decides how much of the money raised by facility campaigns goes to their local United Way?

All retiree contributions go back to the local United Way(s) or agencies based on your home zip code or otherwise specified location if you chose. Caterpillar's role in the campaign is to raise funds for the local

United Way(s). It is the responsibility of the United Way(s) receiving the funds to allocate the monetary contributions as needed.

7. Are retirees expected to contribute to the United Way campaign?

Caterpillar realizes not all retirees will participate in the campaign and retirees are not required to contribute. However, retirees are encouraged to contribute to the United Way or agency of their choice. The campaign serves as a vehicle to support many agencies with one contribution. In addition, funds raised by retirees are eligible to be matched by the Caterpillar Foundation dollar for dollar.

8. Is there a corporate policy written about the United Way campaign?

There is a corporate policy that specifically deals with "solicitations" and it states that internal solicitations are NOT allowed. However, the United Way campaign is an exception to that policy. Caterpillar is able to solicit each retiree with company resources using an online pledging process. The campaign is strictly solicited through an online form during the annual campaign. For more information on the Corporate Solicitation Policy, please see your local HR representative or HR Manager.

ABOUT PLEDGES/CONTRIBUTIONS

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9. How do I pledge online?

The online pledging is open for retirees from August 19 – September 13, 2013. You can visit the <http://www.caterpillar.com/foundation> (Select United Way) for more information on where to pledge.

10. When are contributions effective?

This depends on your payment selection in the pledging process. Immediate payments can be made or you can defer payments to begin on a particular date.

11. Is there a minimum contribution?

There is a minimum contribution of \$1.00 per transaction directed to a United Way. If you have chosen to participate with a one-time-only contribution, the minimum contribution amount is \$1.00. Also, if you've chosen to designate to a particular organization the minimum contribution is \$25.00 per organization.

12. How do I correct, change or cancel (stop) my payroll contribution if I pledged online?

When you pledge online, you are able to make changes using the online pledging site until the campaign closes. If you have any changes after the close of the campaign please email the CEUWA_cat@cat.com inbox with the changes needed.

13. How do I make a designation change?

Once the campaign closes you are not able to make a specific designation change. If you would like to make a designation change during the campaign please log in to the online pledging site and make your designation change.

14. I need my PeopleSoft ID to register, where can I find that?

Please call 800-447-6434 or email HR_Service_Center@cat.com to request your PeopleSoft Number.

15. If I pledge online and am pulled away from my desk, will the system “time out” or log me out?

Yes, the site will time out and you will need to log back in if this happens. If the site sits idle for 5 minutes it will time out due to amount of personal information on the site. You may need to reopen the page by going to www.caterpillar.com/foundation and signing into the pledging link again.

16. Can I withhold funds or make my contributions exempt from a specific agency?

The campaign raises funds on behalf of the local United Way(s). The local United Way(s) determines how much total money goes to each agency. We feel the United Ways know what is best and most important to be funded in the communities. Withholding of funds is contingent on each local United Way. A retiree does have the right to negatively designate or exempt one (1) agency from their pledge.

17. Am I able to designate my contributions to specific agencies?

Designation will be available to all retirees. If you wish to designate to another United Way or it's agencies other than your local United Way or agency you can do so by searching and selecting other agencies or United Ways using the online pledging.

18. What forms of payment are accepted?

The online system is for tracking purposes and to be eligible for the Foundation match. You have the option to select check, credit/debit card, stock, or Community Foundation as your form of payment. The credit/debit card option allows the option to begin payments immediate or defer payment and can be set up as reoccurring over a specific period. Check, stock, and Community Foundation payment must be fulfilled separately by sending payment during to the United Way by the donor.

19. The United Way is asking for my personal information, what will they do with that information?

The United Way may use this information as a recognition tool and a way to keep in contact with their donors. Providing your personal information is optional. If you wish to remain anonymous please select the anonymous option in the online pledging system.

20. Are contributions tax-deductible? If so, how will retirees know how much they gave?

Donations are tax-deductible. As long as you provide an email address in the contact information section of the system you will receive notification confirming the amount pledged. However because this is a pledge please use a copy of your form of payment for tax purposes.

21. Who do I contact if I am having problems with the online pledging system?

Please email the CEUWA_CAT@cat.com inbox for assistance.

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22. How many designations can I make?

United Way pledging system limits retirees to four agencies with a minimum contribution of \$25 per agency.

23. Can I designate funds to a specific organization that is not listed in the online pledging system?

Many worthwhile organizations are not part of the United Way. You may only designate to a United Way or a United Way funded agency. Other charitable organizations may qualify for funds through the Caterpillar Matching Gifts Program. Please visit www.caterpillar.com/foundation and selection Matching Gifts Program for more information and program guidelines.

24. Can I indicate what agency I do not want to contribute to?

The campaign raises funds on behalf of the local United Way(s). The local United Way(s) determines how much total money goes to each agency. We feel the United Ways know what is best and most important to be funded in the communities. Withholding of funds is contingent on each local United Way. A retiree does have the right negatively designate or exempt one (1) agency from their pledge.

25. I have a 501 (c) 3 organization I would like to designate to, but I do not see it on the list?

"Write-in" options are not allowed. Many worthwhile organizations are not part of the United Way. You may only designate to a United Way or a United Way agency. Other charitable organizations may qualify for funds through the Caterpillar Matching Gifts Program. Please visit www.caterpillar.com/foundation and selection Matching Gifts Program for more information and program guidelines.

26. What happens if I do not designate to a specific agency or I only designate a part of my contribution?

If you do not specify a designation, the entire contribution or the remainder of your contribution will be distributed with the overall campaign contributions to your local home zip code United Way, ensuring all of the worthy organizations receive assistance.

27. Will the Caterpillar Foundation match my United Way contribution?

Yes, the Foundation will match contributions dollar for dollar. For example, if Caterpillar employee and retirees donations total \$5.5M, and the Foundation will match \$5.5M. The Foundation match follows retiree donations to the local UW, not to the designated agency. For example if a retiree gave \$100 to their local Red Cross, the Foundation match is given to the United Way aligned to that local Red Cross. This is because

Caterpillar recognizes the value local United Ways provide to communities and believe in the strength of their process, which determines the greatest need in that area and the best investment of company dollars.

The Caterpillar Foundation supports many Community and Worldwide Efforts such as Disaster Relief, United Way, Local Charitable Functions and Individual Employee Contributions to Qualified Organizations. The Caterpillar Foundation does not support groups or projects that discriminate or restrict services based on factors of race, color, sex (including pregnancy), age, disability, veteran status, religion, national origin, ancestry, sexual orientation, gender identity, marital status, domestic partner status, genetic information or citizenship status. The Caterpillar Foundation will negatively designate our match when it is matching designations to organizations that discriminate or for projects that do not reflect the general principles of Caterpillar's Code of Conduct and Our Values In Action. "Negatively designate" means that the local United Way cannot use Foundation dollars to allocate to the organization that discriminates.

28. I have more questions, whom do I contact?

Please email the CEUWA_CAT@cat.com inbox for further assistance.