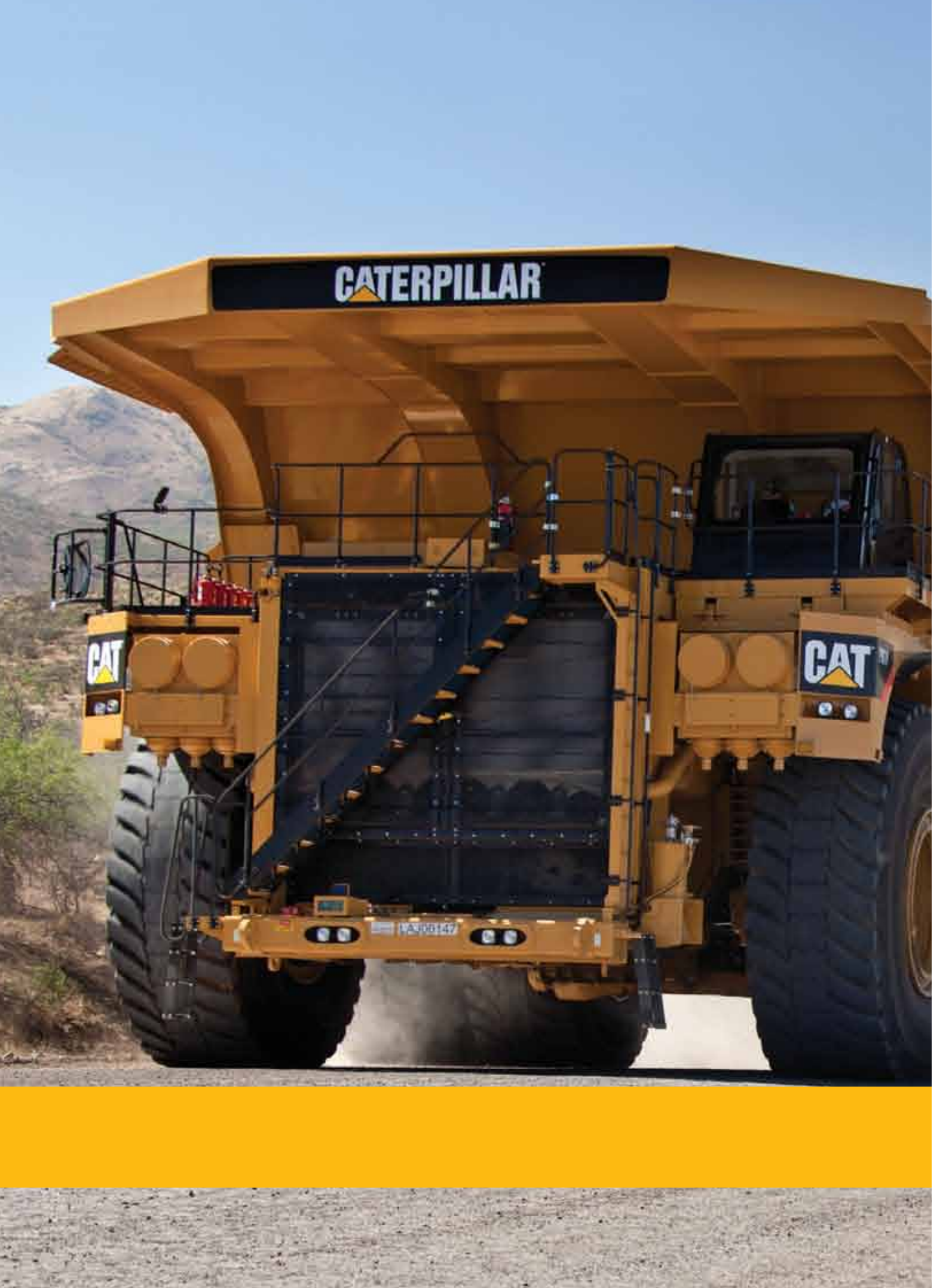




卡特彼勒在中国





# 携手中国 共筑辉煌







# 董事长致辞



## 道格拉斯·欧博赫曼

卡特彼勒公司董事长兼首席执行官

卡特彼勒植根中国40多年，我们深感自豪。卡特彼勒将一如既往支持中国可持续的基础设施建设和资源开发利用。在新常态下，中国提出的“一带一路”倡议将推动中国与周边国家更有力的经济融合，并促进“一带一路”沿线国家之间的互联互通和经济发展。

“一带一路”倡议带来的发展机遇是历史罕见的。通过基础设施建设，加强国家和人民之间的互联互通是“一带一路”倡议的重点。可以预见，亚洲、中东、非洲和欧洲将迎来大量的基础设施投资。卡特彼勒欢迎这一倡议，将与我们的中国伙伴紧密合作，助力政府、客户以及所有的其他参与者取得互利共赢的成果。

基于卡特彼勒独一无二的覆盖全球的代理商网络，广泛的专业技术和经验，对当地市场的认知，以及对当地社区的深入了解，我们相信卡特彼勒有独到的能力可以创造更大价值，助力我们的客户在参与国内外项目中取得长远的成功。卡特彼勒在世界各地拥有约50万台互联的资产和300万台机器及发动机在工作，与此同时，我们正着力提升数字技术能力，服务客户，让他们更加成功。

卡特彼勒致力于在中国的长远发展，并成为新常态下中国转型时期的有价值有贡献的合作伙伴。我们继续全力支持客户推动中国实现进一步的发展，我们很高兴成为这一进程中的伙伴。



# 中国董事长致辞



## 陈其华

卡特彼勒全球副总裁

卡特彼勒(中国)投资有限公司董事长

随着中国进入新常态，经济增速放缓，“创新、协调、绿色、开放、共享”将引领中国未来的发展。在“十三五”时期，随着中国进一步推进全面深化改革，推动经济转型和可持续发展，很多产业将迎来更多发展机遇。产业结构调整和产业升级、城镇化发展、创新、智能制造、可持续基础设施、新能源、节能减排、环境保护将促进中国经济在新常态下的进一步稳定发展。

中国“十三五”发展规划和中国制造2025战略目标的实施以及中国推进“一带一路”倡议所带来的合作和发展，将推动全方位的合作伙伴关系的建立，包括国有企业和私营企业，全球企业和本土企业之间的多种形式的合作。中国是卡特彼勒十分看重的一个关键新兴市场。过去几十年，随着城市化和工业化的快速发展，中国经济取得了举世瞩目的成就。作为基础设施建设、能源和交通领域的全球领先者，卡特彼勒见证并参与了中国的发展进程。

自上世纪70年代向中国出口第一批设备至今，卡特彼勒在中国的发展足迹已遍布全国。目前，卡特彼勒在中国设有二十多家制造工厂、4个研发中心、3个物流和零部件中心。卡特彼勒及其代理商和供应商将继续共同努力为客户提供卓越的产品和技术解决方案，卡特彼勒致力于与我们的客户和合作伙伴共同打造产业链的可持续发展，促进行业转型、创新和升级，提升产业价值。与此同时，我们也致力于成为有责任感、有贡献的本地公民，提升我们工作和生活的社区福祉。

卡特彼勒对中国经济的持续发展充满信心，我们将继续携手合作伙伴助力基础设施建设、节能减排以及资源高效利用，促进可持续发展成为可能。

# 我们的行动价值



**正 直**  
诚实的力量

正直是我们一切行动的基础



**卓 越**  
品质的力量

我们制定并实现宏伟目标



**团队合作**  
协作的力量

我们互相帮助，共同走向成功



**承 诺**  
责任的力量

我们履行我们的责任



**可持续性**  
恒久的力量

我们通过创新和技术提升卡特彼勒在产品、服务、解决方案和运营方面的表现，促使可持续进步成为可能





# 我们的员工



## 人员安全第一

卡特彼勒的安全愿景是，成为被业界认可的创造和保持无事故、无伤害工作场所的领导者。我们相信事故和伤害可以预防，因此，我们的目标是将事故和伤害的发生率降低到零。员工的安全是卡特彼勒一切工作的重中之重。



## 多元化和包容性

卡特彼勒的员工遍布世界各地，拥有不同的文化、经验、教育背景和才能。我们承诺创建一个多元化和包容的环境，尊重每一个人独特的才能、经验和观点。这个承诺让公司变得更为强大，更具竞争力和创造力。



## 职业发展

卡特彼勒的成功取决于乐于学习、持续成长并追求卓越的员工。在卡特彼勒，我们的职业发展项目覆盖每一位员工。我们为公司支持持续学习、知识共享、技能提高和专业成长的文化而自豪。







# 关于卡特彼勒

90年来，卡特彼勒不懈努力，促使可持续进步成为可能，并在全球各大洲积极推动变革。卡特彼勒协助客户进行基础设施建设、能源和自然资源的开发。2015年，卡特彼勒全球销售及收入总额为470.11亿美元，是建筑工程机械、矿用设备、柴油和天然气发动机、工业用燃气轮机以及电传动内燃机车领域的全球领先企业。公司主要运营三大业务板块：工程机械行业、能源和交通、资源行业，并通过金融产品部门提供融资及相关服务。





## 关注领域

### 基础建设

卡特彼勒基础建设产品专注于帮助客户建造全球所需要的高速公路、铁路、机场、水利系统、住宅、医院、学校等设施。在基础设施和建筑应用领域，卡特彼勒设计、生产并销售反铲式装载机、小型轮式装载机、小型履带式推土机、滑移转向式装载机、多地形式装载机、迷你型挖掘机、紧凑型轮式装载机、优选工装机具、小型、中型、大型的履带式挖掘机、轮式挖掘机、中型轮式装载机、中型履带式推土机、履带式装载机、平地机、倾卸式推土机、铺管机和相关部件。



### 能源和交通

卡特彼勒的能源和交通业务致力于满足全球不断增长的能源和交通需求，为客户提供往复式发动机、轮机及部件，服务于电力、工业、石油、船用和铁路相关领域。

### 资源行业

卡特彼勒在资源行业帮助客户以高效和可持续的方式开采和开发资源，包括煤炭、铁矿石和木材等。产品系列包括大型履带式推土机、大型矿用卡车、井工开采设备、钢丝绳电铲、吊斗铲、矿用液压挖掘机、钻机、露井联合端邦开采系统、非公路用卡车、大型轮式装载机、铰接式卡车、铲运机、轮式推土机、优选工装机具、机器零件和电子控制系统。



## 客户与代理商支持

卡特彼勒的客户与代理商服务专注于卡特品牌零件、客户服务和代理商发展，让卡特彼勒的产品支持更加出色。卡特彼勒为客户和代理商提供服务包括：为其雇员在工作现场提供设备相关培训，提供售后的零件与服务的支持，提供电子商务和设备管理解决方案。卡特彼勒在该领域的关键优势在于生产零配件的能力，提供再制造解决方案，并为世界各地的代理商和客户提供无与伦比的零配件服务。

## 金融产品

卡特彼勒通过分布在超过40个国家的办公机构提供量身定制的金融解决方案，与代理商、客户和供应商保持着健康的财务关系。金融方案包括经营性租赁和融资租赁、分期付款销售、流动资金贷款以及批售融资方案。同时，卡特彼勒为客户和代理商提供多种保险方案来支持其购买或租赁 Cat<sup>®</sup>（卡特）设备。

## 卡特彼勒品牌组合

卡特彼勒拥有诸多公司及产品品牌。自80年代中期，公司成长采取的举措之一是收购。通过收购，卡特彼勒延展在一个行业的产品线、开拓新的行业、并拓展覆盖的区域。Cat® (卡特) 自然而是旗舰产品和服务的品牌，并且最具象征性，但是好的品牌组合应该拥有互补品牌以更好地满足有不同价值主张客户的需求。

# CATERPILLAR®

**PROGRESS**  
RAIL SERVICES  
A Caterpillar Company

**HINDUSTAN**

 **Perkins®**

**PYROBAN®**

**ELECTRO MOTIVE**

**Solar Turbines**  
A Caterpillar Company

**MAK**

**MWM**  
Energy Efficiency Environment

**TURNER**  
POWERTRAIN SYSTEMS



**OLYMPIAN™**

**CAT®**

**HYPAC™**

**Turbomach**  
A Caterpillar Company

**ANCHOR**  
Anchor Coupling Inc.

**ASIATRAK**

**PRENTICE**

  
**SEM**  
A Caterpillar Brand



# 卡特彼勒在中国

卡特彼勒在中国的发展经历了四个阶段。七十年代中期，卡特彼勒首次完成向中国市场提供38台铺管机的销售并在北京成立了销售办公室。八十年代，在发展的第二阶段，我们向中国国有企业进行了技术转让。对卡特彼勒和中国工程机械行业两者的长远发展来说，这是具有关键意义的一步。九十年代进入第三阶段后，我们开始在中国建立工厂，制造产品并发展独立的代理商。现在，我们正处于第四阶段，专注于系统地部署完整的业务模式，从强大的供应商，到零部件、制造、为本地市场开发产品、加强代理商，以及提供包括卡特金融和卡特再制造的服务体系。



## 卓越制造

卡特彼勒以90年的制造传统和经验积累，最优秀的团队，最严苛的制造标准，为客户提供最具价值的最优解决方案。“安全第一”一直是卡特彼勒全球所有工厂遵循的首要原则。我们坚持消除安全隐患，把“零伤害”作为最重要的目标。品质是卡特彼勒对用户最为自豪的承诺之一。卡特彼勒对于质量要求的原则是“零缺陷”，这一点在中国也得到了严格的贯彻和执行。目前所有工厂均引入了卡特彼勒在全球范围内推行的六西格玛、卡特彼勒生产系统等先进的管理模式以确保品质稳定。对严格的运营流程、现场管理和持续提高价值的强调，使全世界的客户能够依靠卡特彼勒提供的可信赖、高品质的产品。



## 本地研发

卡特彼勒在中国的研发是卡特彼勒全球研发不可或缺的一部分。研发在卡特彼勒中国战略的实施中发挥着重要作用。自2010年起，经过三年时间的发展，卡特彼勒无锡研发中心已经成为卡特彼勒在美国本土之外第二大综合研发中心。利用卡特彼勒全球研发网络，卡特彼勒无锡研发中心已经开发了众多针对中国及成长型市场的设备和发动机产品，并且这些设备和发动机产品大都已经投产。为响应来自国内和全球运营不断增长的需求，研发中心也在培养更多合格的中国供应商方面起到了至关重要的作用。





# 服务

## 再制造

再制造是在工业生产环境下，将到寿产品重新加工恢复成具有等同于新产品的质量和性能的过程。作为循环经济的高级利用形式，与制造新品相比，再制造可以显著降低客户的产品成本，同时大幅减少能耗、原材料用量和固体废物。拥有更多生命周期的再制造产品为用户提供了一种以低投入和低运营成本来实现产品更新换代的极佳解决方案。

卡特彼勒从事再制造业务已有40多年历史，在中国再制造却依然是一个新兴产业。卡特彼勒是第一批把产品再制造引入中国的跨国公司之一。2005年，卡特彼勒再制造工业（上海）有限公司成立，致力于为中国及亚太市场客户提供最佳价值。中国正在倡导以行业领先的制造技术和最佳实践实现可持续经济发展，卡特彼勒的再制造业务有助于实现这一目标。



## 融资租赁

随着国内信贷紧缩，企业在采购、更新设备时，往往会遭遇资金不足、资金回收风险较大、融资困难等一系列问题，融资租赁的出现解决了企业在采购时碰到的困难，助力企业成长，进而逐步成为企业或个人更新设备所采用的重要融资手段之一。

卡特彼勒（中国）融资租赁有限公司于2004年4月正式在北京成立，是中国第一家工程机械行业内的融资租赁公司。我们旨在通过Cat®（卡特）代理商为卡特彼勒及其子品牌的客户提供世界级水平的融资租赁服务，通过卓越的金融服务帮助客户、代理商以及卡特彼勒取得成功。同时，我们还致力于为中国建筑及矿山行业的设备提供灵活创新的融资租赁服务方案，并建立客户对Cat品牌的忠诚度。



## 代理商及供应商发展

纵观我们的历史，我们与庞大的独立代理商网络之间的关系已经成为卡特彼勒业务的关键竞争差异。今天，我们仍在发展这种关系以确保为客户提供他们所需要的支持。在中国，卡特彼勒于九十年代开始发展代理商。时至今日，从新疆、西藏到海南、澳门，我们的四个代理商拥有近300家分支机构覆盖全中国。我们与代理商的牢固纽带，和我们的分销模式是我们实现中国市场战略的重要组成部分。

卡特彼勒相信，全球一流的公司必须坚定不移发展全球一流的供应商网络。在中国，卡特彼勒已经致力于发展强大的供应商网络超过20年，本地供应商的数目从5家增长到350多家。通过部署先进的体系，如六西格玛质量管理和卡特彼勒生产系统，以及协助供应商发展企业文化，卡特彼勒助力本地供应商在设计能力、技术质量和成本优势等方面实现了显著进步。一些本地供应商也因此得以在全球拓展经营。



## 里程碑

卡特彼勒庆祝在华40周年。	2015	
山东山工机械有限公司正式更名为 卡特彼勒（青州）有限公司， 同时山工机械品牌推土机工厂开业。	2014	
卡特彼勒徐州大型液压挖掘机工厂以及底盘 零部件和履带装配工厂正式开业	2013	
卡特彼勒亚太试验场在江苏通州开业。卡特彼勒 位于无锡的传动和驱动系统厂区投入运营， 液压零部件工厂扩建完工。	2012	
郑州四维机电设备制造有限公司加入 卡特彼勒，并于2013年11月正式更名为 卡特彼勒（郑州）有限公司。	2011	
卡特彼勒（吴江）有限公司成立，专门生产 10吨以下300系列迷你挖掘机。	2010	卡特彼勒在苏州的物流中心投入运行。 卡特彼勒宣布在天津建造大型发动机工厂。
	2008	卡特彼勒完成对山东山工机械有限公司 全部股份收购。
	2007	珀金斯发动机工厂在无锡成立
	2006	卡特彼勒（苏州）有限公司成立。
	2005	卡特彼勒再制造工业（上海）有限公司成立。 卡特彼勒技术研发（中国）有限公司成立。 卡特彼勒（中国）机械部件有限公司成立。
	2004	卡特彼勒（中国）融资租赁有限公司成立。
	2000	卡特彼勒路面机械（徐州）有限公司成立。 亚实动力系统（天津）有限公司成立。
亚实履带（天津）有限公司成立。	1997	
卡特彼勒（中国）投资有限公司成立。	1996	
卡特彼勒在中国建立第一家公司—— 卡特彼勒（徐州）有限公司。	1994	
	1987	卡特彼勒与12家中国国有公司签订 技术转让协议。
卡特彼勒的首批38台铺管机销售到中国， 并于1978年在北京开设办事处。	1975	

# 企业社会责任

卡特彼勒是全球公益慈善的积极成员，并投入大量时间和资源，来促进公司运营所在地区的健康、福利和经济稳定。卡特彼勒大力支持卡特彼勒基金会的公益慈善活动。创立于1952年，卡特彼勒基金会已投入超过6.5亿美元，在全球范围内为环境可持续性、教育和人类基本需求项目提供支持，致力于让可持续进步成为可能。卡特彼勒鼓励所有员工参与与有利于公共利益的社区活动。我们相信，我们的成功应有助于提升我们工作和生活的社区品质、实现繁荣和可持续发展。



## 可持续教育

### 新公民计划

新公民“小额教师行动基金”项目支持民办打工子弟学校的老师们开展教学实践，支持他们实现创新教学想法，提升学生在语言、科学、社会和心理等方面的学习能力，并为老师们提供经验交流和培训机会，改进教学方法，提高打工子弟学校的整体教学质量，降低辍学率。在卡特彼勒基金会的支持下，2014至2016年，约900名打工子弟学校教师和35000名学生直接从项目中获益。

### 关爱特殊儿童教育

十多年来，卡特彼勒(徐州)有限公司一直关爱和资助徐州彭城培智学校的发展。公司不仅捐资扶持以改善学校的教学环境和孩子们的医疗状况，每年还组织员工到学校慰问，与孩子们一起活动，并为他们带去日常生活和学习用品。徐州彭城培智学校也得到了卡特彼勒基金会的帮助。利用卡特彼勒基金会和卡特彼勒徐州的爱心捐助，学校开展教育、教学、治疗、训练四结合的实践，并取得了良好的成绩。





## 环境保护

### 公益林项目

公益林项目旨在通过在中国北方土壤沙化威胁严重地区和生态脆弱地区及太湖周边区域的造林活动，建立绿化带来保持水土，保护水资源，保护环境。自2011年启动以来，该项目已累计在中国植树超过356000株，并从以防风防沙绿化林单一目标为主逐步转变为生态和扶贫并重，在为社区带来生态效益的同时，也帮助当地农户提高家庭收入。

### 可持续城镇化和宜居城市

随着城镇居住人口数量超出农村居住人口，规划不善又不断扩张的城市对可持续性经济发展形成潜在阻力。自2012年开始，在卡特彼勒基金会的支持下，世界资源研究所针对中国、印度和巴西的五个城市开展可持续性城镇化和宜居城市建设研究。中国的试点城市是成都和青岛。研究的主要内容是抑制温室气体排放，提高能源效率，改善水质，以及城市交通和土地使用状况的研究及试点工作。

## 人类基本需求

2015年，卡特彼勒基金会与中国扶贫基金会合作，联合设立了“备灾减灾专项基金”。该专项基金第一年的启动资金为25万美元，卡特彼勒基金会将每年向“备灾减灾专项基金”注入新的资金，用于全国范围内开展备灾减灾工作。这一新的理念将企业应急救援工作的重点从事后捐赠转移到灾前预防和准备。当灾害发生时，善款就能第一时间被用在最需要的地方，使善款发挥更有效和及时的作用。

## 卡特彼勒志愿者行动

卡特彼勒中国员工及家人朋友积极参与服务所在社区的活动。过去五年中，已有4000多位卡特彼勒中国员工及家属作为志愿者在全国12个地区组织参与了形式多样的公益活动，为所在社区的和谐发展做出积极贡献。2015年，卡特彼勒基金会在中国正式启动了覆盖全球范围的“全球志愿月”活动，鼓励卡特彼勒员工及亲友更多地参与回馈社区的公益活动，为改善社区生活条件做出积极贡献。





## 卡特彼勒致力于

### 助力“一带一路”项目

中国路桥白俄罗斯M5项目是白俄罗斯明斯克---戈梅利公路以及博布鲁伊斯克---日洛宾公路项目，全长86.54公里，是中国路桥在白俄罗斯的第一个大型项目，也是中国路桥积极推行走出去战略进入东欧的首次亮相。根据客户的实际工况，卡特彼勒（青州）有限公司为项目设计提供了一揽子设备解决方案：包括山工机械品牌的装载机、平地机、推土机。这些实用型产品既考虑到客户工程施工阶段的设备使用，也充分考虑了未来公路通车后道路养护的设备使用，助力中国路桥参与“一带一路”项目的实施。



### 加速货运港口运转

青岛港拥有120年历史，并与世界130个国家和地区的450个港口有贸易来往。在近百台Cat装载机的支持下，青岛港用仅占全中国港口1.3%的码头岸线创造出全国6.9%的矿石吞吐量，并在九年内18次刷新自身创造的单船卸货记录。在以效率为港口业发展生命线的今天，卡特彼勒以最优质的设备和贴心细致的服务，为全国各大港口带来经济效益的同时，也为中国乃至全球经济发展作出积极贡献。



## 卡特彼勒致力于

### 开发和利用天然气

涩宁兰（涩北-西宁-兰州）天然气管道是将来自三江源头的纯净天然气安全可靠地输送到千家万户的重要管线。管道全长920公里，平均海拔3000米以上，年输气量60多亿立方米。为了让天然气在如此高的海拔通过这条管线进入千家万户，中石油兰州输气分公司选择卡特彼勒子公司索拉透平公司的燃气轮机做驱动，在戈壁高原为天然气的长途输送一路“给力”，为涩宁兰管道向更多用户输送天然气奠定了基础。

### 提高采矿安全和效率

为了将新疆准东五彩湾露天煤矿建设成现代化大型煤炭基地及行业标杆企业，神华集团联手世界一流的矿山设备供应商卡特彼勒，于2011年在国内首次引入Cat793D-220吨矿用卡车。大型矿用卡车与大型装载机、推土机、平地机等其它卡特设备极大地提升了整个采矿流程的效率。这次突破所带来的经济效益、环保效益、安全示范效益，为推动新疆能源大通道建设的矿山开采业起到良好的示范作用。



## 保障数据中心电能

数据中心在人们的日常生活中正在发挥越来越重要的角色。从网上购物到医护管理，都离不开庞大的互联网数据交换及存取工作。持续不断的稳定电力支持为数据中心提供安全无虞的电力保障，也保证了每一位用户在接入互联网时的良好使用体验。卡特彼勒的发电机组作为备用或常用电源正默默地服务于全国各地的各种数据处理中心，为它们的运转提供着源源不断的动力支持。

## 减少温室气体排放

卡特彼勒的煤层气发电项目，实现了温室气体减排与低碳经济的双赢。自2006年起，晋煤集团与卡特彼勒合作开发当地的煤层气发电项目，通过引进Cat G3520C煤层气发电设备，推动了当地燃煤发电向清洁的煤层气发电的转型，将煤层气（造成煤矿安全隐患的温室气体）转化为低碳经济发展的原动力，为晋城市实现可持续发展做出了有力贡献。



# 联系我们



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利星行机械有限公司

代理区域：江苏、浙江、湖北、安徽、河南、山东、上海

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信昌机器工程有限公司

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400-8303-512 (Electric Equipment)

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携手中国  
共筑辉煌

**CATERPILLAR®**  
卡特彼勒



CATERPILLAR IN CHINA





# 携手中国 共筑辉煌











# Chairman and CEO's Message



## **Doug Oberhelman**

Chairman and CEO, Caterpillar Inc.

At Caterpillar, we are proud of our more than 40 years of history in China. Now, as always, we support China's infrastructure development and sustainable resource utilization. In the New Normal era, the Chinese government has proposed the Belt and Road Initiative to promote stronger economic integration between China and its neighbors, as well as connectivity and economic development of countries along the ancient Belt and Road routes.

The Belt and Road initiative offers significant opportunities rarely seen in human history. Connecting nations and people through infrastructure, a priority of this initiative, is anticipated to generate significant investment in infrastructure projects across Asia, the Middle East, Africa, and Europe. We embrace this initiative, and will work closely with our Chinese partners to help governments, customers and all participating stakeholders achieve mutually beneficial outcomes.

We believe we are uniquely able to do this – because of our unmatched global dealer network, our extensive expertise and experience, local market knowledge, and in-depth understanding of local communities. We can help create greater value and contribute to our customers' long-term success as they participate in projects both at home and abroad. With approximately 500,000 digitally connected assets and an installed base of three million machines and engines at work around the world today, Caterpillar is also committed to building the digital capabilities to make our customers more successful.

Caterpillar is committed to long-term development in China and to serving as a valuable partner in China's transformation during the New Normal. We fully support our Chinese customers as they drive China to further success, and we are glad to be a partner on that path.

# China Country Manager's Message



## Qihua Chen

Vice President of Caterpillar Inc.  
Chairman of Caterpillar China

China has entered a new development stage with economy transitioning to moderate growth that focuses on innovation, coordination, green development, openness and inclusiveness. China's 13th Five-Year Plan (FYP) will unleash further opportunities as the nation accelerates to deepen reform and drive economic transformation and sustainable development. Industry upgrading, urbanization, innovation, smart manufacturing, sustainable infrastructure, new energies, energy saving and environmental protection will be impetus to China's further development in the New Normal.

As the 13th FYP and China Manufacturing 2025 strategy are implemented, coupled with the Belt and Road Initiative underway, there will be many opportunities for establishing full range of partnerships, between public and private, foreign and local. China is a critical emerging market for Caterpillar. Over the past decades, rapid urbanization and industrialization has fueled China's economic miracle. As a global leader in construction industries, resource industries, and energy and transport, Caterpillar has participated in and witnessed China's remarkable progress.

Since we first sold equipment to China in the 1970s, Caterpillar has built a cross-country footprint with more than 20 manufacturing facilities, 4 R&D centers, 3 logistics and parts centers. In partnership with our dealers and suppliers, Caterpillar is committed to providing our Chinese customers world-class products and technology solutions. Caterpillar is committed to building up a sustainable industry chain with our customers and partners, to promote industrial transformation, innovation and upgrading as well as enhancing industry value. In the meantime, we're also committed to being a responsible and contributing local corporate citizen by advancing the well-being of the communities in China where we live and work.

Caterpillar is confident of China's sustainable development prospects. We will continue to work with our partners to support infrastructure development, energy efficiency improvement, emission reduction and efficient use of natural resources, making sustainable progress possible.



# Our Values In Action



## Integrity

The Power of Honesty

Integrity is the foundation of all we do.



## Excellence

The Power of Quality

We set and achieve ambitious goals.



## Teamwork

The Power of Working Together

We help each other succeed.



## Commitment

The Power of Responsibility

We embrace our responsibilities.



## Sustainability

The Power of Endurance

We make sustainable progress possible by applying innovation and technology to improve the performance of Cat<sup>®</sup> products, services, solutions and operations.



# Our People



## People Safety First

Caterpillar's safety vision is to be recognized as a leader in our industry for creating and maintaining an accident and injury-free workplace. We believe all accidents and injuries are preventable; therefore our goal for these is zero. The safety of our people is primary in everything we do.



## Diversity and Inclusion

At Caterpillar, we are committed to a diverse and inclusive environment that values and respects the unique talents, experiences and viewpoints of our global employees. It's clear that we are a stronger company because of this commitment.



## Career Development

Understanding that Caterpillar's success depends on a workforce that is constantly learning, growing, and striving for excellence, we've created a company-wide career development program that supports a culture of continual learning, knowledge sharing, skills development and professional growth.







# About Caterpillar

For 90 years, Caterpillar Inc. has been making sustainable progress possible and driving positive change on every continent. Customers turn to Caterpillar to help them develop infrastructure, energy and natural resource assets. With 2015 sales and revenues of \$47.011 billion, Caterpillar is the world's leading manufacturer of construction and mining equipment, diesel and natural gas engines, industrial gas turbines and diesel-electric locomotives. The company principally operates through its three product segments - Construction Industries, Energy & Transportation, Resource Industries - and also provides financing and related services through its Financial Products segment.



# Focused Industries

## Construction Industries

Construction Industries is focused on helping our customers build what the world needs – new highways, railroads, airports, water systems, housing, hospitals and schools, to name a few. Primarily responsible for supporting customers using machinery in infrastructure and building construction applications, this segment designs, manufactures and markets construction machines, including backhoe loaders, small wheel loaders, small track-type tractors, skid steer loaders, multi-terrain loaders, mini excavators, compact wheel loaders, select work tools, small, medium and large track excavators, wheel excavators, medium wheel loaders, medium track-type tractors, track-type loaders, motor graders, telehandlers, pipelayers and related parts.



## Energy & Transportation

Energy & Transportation segment is focused on meeting the world's increasing energy and transportation needs. It is primarily responsible for supporting customers using reciprocating engines, turbines and related parts across industries serving electric power, industrial, petroleum and marine applications as well as rail-related businesses.

## Resource Industries

Resource Industries make it possible for customers to mine and harvest resources, such as coal, iron ore and lumber, in a profitable and sustainable way. The product portfolio includes large track-type tractors, large mining trucks, underground mining equipment, electric rope shovels, draglines, hydraulic shovels, drills, highwall miners, off-highway trucks, large wheel loaders, articulated trucks, wheel tractor scrapers, wheel dozers, compactors, select work tools, machinery components and electronics and control systems.



### **Customer & Dealer Support**

Customer & Dealer Support strengthens Caterpillar's product support excellence by bringing a strong focus to Cat branded parts and customer service and delivering outstanding dealer development. This segment supports customers and dealers in a variety of ways, such as providing employee equipment training on job sites, supplying aftermarket parts and service support, and offering eBusiness and Equipment Management solutions. A key strength is the ability to manufacture parts and components, provide remanufacturing solutions and deliver unmatched parts availability to dealers and customers anywhere in the world.

### **Financial Products**

Caterpillar sustains financially sound relationships with its dealers, customers and suppliers by providing customized financing solutions through offices in more than 40 countries. Financing plans include operating and finance leases, installment sale contracts, working capital loans and wholesale financing plans. The segment also provides various forms of insurance to customers and dealers to help support the purchase and lease of Cat equipment.



## Brand Portfolio

Caterpillar has a large portfolio of company and product brands. Starting in the mid 80's, our growth initiatives have included acquisitions that have extended our product offerings within an industry, expanded our scope to new industries, and stretched our geographical reach. Naturally Cat is the flagship products and services brand, and is our most iconic, but a good brand portfolio will have complimentary brands to round out the offering to better match the customer needs within different value propositions.

**CATERPILLAR**

**PROGRESS**  
RAIL SERVICES  
A Caterpillar Company

**HINDUSTAN**

**Perkins**

**PYROBAN**

**ELECTRO MOTIVE**

**Solar Turbines**  
A Caterpillar Company

**MAK**

**MWM**  
Energy Efficiency Environment

**TURNER**  
POWERTRAIN SYSTEMS

**EG WILSON**

**OLYMPIAN**

**CAT**

**HYPAC**

**Turbomach**  
A Caterpillar Company

**ANCHOR**  
Anchor Coupling Inc.

**ASIATRAK**

**PRENTICE**

**SEM**  
A Caterpillar Brand

# Caterpillar China

Caterpillar's development in China has gone through 4 phases. In the mid 1970's, Caterpillar concluded the first sale of 38 pipe layers to China market and established a sales office in Beijing. In the 1980's, we engaged in Phase 2 of our journey with the transfer of technology to Chinese state-owned companies. This was a very critical step to the development of both Caterpillar and the construction industry in China for the long term. In the 1990's, entering Phase 3, we began to build factories to make products and develop independent dealers in China. And now, we are in Phase 4, focusing on systematically building out our full business model, from our strong suppliers to components, manufacturing, products developed for the local market, dealers and a full array of services including Cat Finance and Cat Reman.



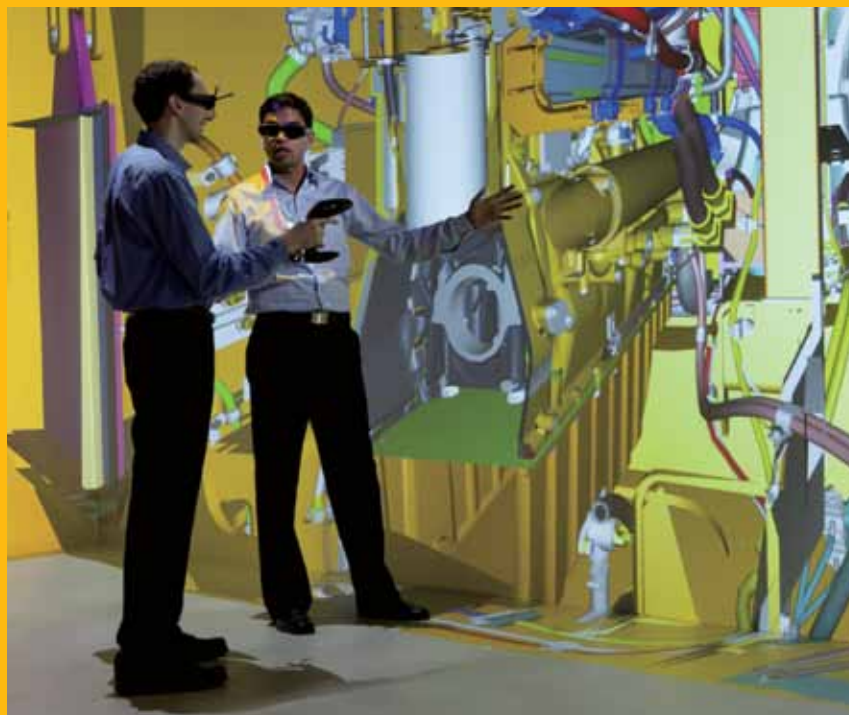
## Manufacturing Excellence

Caterpillar provides its customers with the best solution at the best value by using its 90 years of manufacturing tradition and experience, top-notch teams and the high manufacturing standards. Safety is the number one priority for Caterpillar facilities around the world. We insist on eliminating safety risks with “zero injury.” Quality is one of the proudest commitments Caterpillar makes to its customers. We have zero tolerance for defects, and in China, this rule has been strictly enforced. Every Caterpillar facility has adopted 6 Sigma and advance management models such as the Caterpillar Production System to ensure quality. Thanks to our emphasis on strict operating protocol, on-site management and continuously improving values, customers around the world can count on a reliable, quality product provided by Caterpillar.



## Research & Development

Caterpillar's R&D footprint in China is an integral part of Caterpillar's global R&D network and R&D plays a key role in Caterpillar's successful development in China. In the past 3 years Caterpillar R&D Center (China) Co., Ltd. has become the 2nd largest comprehensive R&D center next to that in the U.S. Leveraging Caterpillar's global R&D network, the R&D center in Wuxi has developed a number of machine and engine products for China and growth markets and most of which are in production. It also plays a critical role in developing more qualified Chinese suppliers in response to increasing demand from both domestic and global operations.





# Service

## Reman

Remanufacturing is the process of returning an end-of-life, broken or blemished product to same-as-when-new condition in a manufacturing environment. As an advanced form of recycling, remanufacturing can significantly reduce the product cost to customer while also significantly reducing energy consumption, material use and solid waste when compared to new product manufacturing. The additional life cycles of remanufactured components also provide customers a great financial alternative to purchasing new products that lowers the capital investment and operation costs of customers.

Caterpillar has been engaged with remanufacturing business for more than 40 years, yet it is an emerging industry in China. And Caterpillar was among the first to introduce product remanufacturing to China. In 2005, we set up a remanufacturing facility in Shanghai to serve the China and Asia Pacific market. Caterpillar's remanufacturing business supports China's goal of achieving a sustainable economy based on industry-leading manufacturing expertise and business practices.



## Financial Leasing

With domestic credit tightening, enterprises often suffer from a shortage of funds, difficulties recovering capital or face financing challenges when buying or upgrading equipment. Financial leasing services solve these problems for enterprises and help them to grow their businesses.

Caterpillar (China) Financial Leasing Co., Ltd. was established in Beijing in April 2004. It is the first financial leasing company in China's construction equipment industry. The company provides world-class financial leasing services to our customers in collaboration with Cat dealers. Its mission is to help customers, dealers and Caterpillar succeed through financial service excellence. We also aim to serve China's construction and mining equipment markets through our flexible and innovative financing solutions, driven by a strong commitment to build Cat loyalty with our customers.

## Dealer & Supplier

Throughout our history, the relationship between Caterpillar and our vast independent dealer network has been a critical competitive differentiator for our business. Today, this relationship is continuing to evolve to ensure that we provide our customers with the support they need. In China, Caterpillar began dealership development in 1990s. From Xinjiang and Tibet to Hainan and Macao, we have four Cat dealers with nearly 300 branches covering all provinces in China. The strong connection with our dealers and our distribution model is the holistic part of our winning strategy in China.

At Caterpillar, we believe a world class company requires a firm commitment to develop a world class global network of suppliers. In China, Caterpillar has been doing just that for the past 20 years. We have increased the number of local suppliers from five to 350. Through the implementation of advanced processes such as 6 Sigma and Caterpillar Production System, and by facilitating the transformation of corporate culture, we have enabled our suppliers to achieve significant increases in areas such as design capability, technique quality, cost advantage and more. These improvements have allowed some of those companies to expand their operations globally.



## Milestone

Caterpillar celebrated 40 years in China.	2015	
Caterpillar (Qingzhou) Ltd. was established, and SEM track-type tractor facility was opened. Caterpillar announced the grand opening of a large excavator facility in Xuzhou.	2014	
Caterpillar Asia Pacific Proving Ground was opened in Tongzhou, Jiangsu. Caterpillar opened the power train facility and completed expansion of hydraulic cylinder facility in Wuxi.	2013	
Zhengzhou Siwei joined Caterpillar, and it was renamed Caterpillar (Zhengzhou) Ltd. in November 2013.	2012	
Caterpillar (Wujiang) Ltd. was established to produce mini excavators 10 tons and below.	2011	
	2010	China Logistics Center was opened in Suzhou. Caterpillar announced to build a state-of-the-art large engine facility in Tianjin.
	2008	Caterpillar completed acquisition of Shandong SEM Machinery Co., Ltd.
	2007	Perkins began to set up engine facilities in Wuxi.
	2006	Caterpillar (Suzhou) Co., Ltd. was established.
	2005	Caterpillar (China) Machinery Components Co., Ltd. was established. Caterpillar Remanufacturing Services (Shanghai) Co., Ltd. was established. Caterpillar R&D Center (China) was established.
	2004	Caterpillar (China) Financial Leasing Co. was established.
	2000	Caterpillar Paving Product (Xuzhou) Ltd. was established. Asia Power Systems (Tianjin) Ltd. was established.
AsiaTrak (Tianjin) Ltd. was established.	1997	
Caterpillar (China) Investment Co., Ltd. was established.	1996	
Caterpillar formed its first company in China, Caterpillar (Xuzhou) Ltd.	1994	
	1987	Caterpillar signed technology transfer agreements with 12 State-owned Chinese companies.
Caterpillar made its first sale of 38 pipe layers to China, and opened Beijing office in 1978.	1975	



# Corporate Social Responsibility

Caterpillar is a proactive member of communities around the world and invests significant time and resources in promoting the health, welfare and economic stability of those communities. The Caterpillar Foundation is philanthropic organization for Caterpillar. Founded in 1952, the Caterpillar Foundation has contributed more than \$650 million to help make sustainable progress possible around the world by providing support in the areas of environmental sustainability, access to education and basic human needs. Caterpillar also encourages employees to participate in community activities that promote the common good and believes that our success should also contribute to the quality of life, and the prosperity and sustainability of communities where we work and live.



## Education

### Teaching Micro-Fund for Migrant Schools

The Teaching Micro-fund for Migrant Schools is initiated by the New Citizen Program to help teachers in migrant schools implement new teaching practices to realize their innovative teaching ideas, promote students' interest in learning, support students' language, science, social and psychological development, as well as provide teacher training and enhance the overall teaching quality of migrant schools. The objective is to help reduce the student dropout rate and improve students' academic performance. From 2014 to 2016, with the support of the Caterpillar Foundation, 900 teachers and 35,000 students benefited directly from the program.

### Education for Mentally Retarded Children

Caterpillar (Xuzhou) Ltd. has been providing tuition, medical care and lodging support to students in Xuzhou Pengcheng Special Education School over the past more than 10 years, which is focused on education for mentally and physically retarded children. In addition, employees from Caterpillar Xuzhou visit the school every year to interact with the students by teaching them painting, Chinese papercuts, etc. With the support from Caterpillar Xuzhou and Caterpillar Foundation, the school carries an integrated approach including education, teaching, treatment and training for the students.



## Environment

### Charity Forest Project

The Charity Forest project was launched in 2011 and is aimed at building up green belts to conserve water and soil, protect water resources and sustain the environment through reforestation in key areas of north China and along surrounding areas of Taihu Lake. By 2016 yearend, 356,000 trees are expected to be planted. The project has evolved into a new stage that not only brings ecological benefits but also economic benefits to local communities. While improving the environment, the project can also help peasants increase their family income.

### Sustainable Urbanization and Livable Cities

China is currently undergoing a significant shift in demographics. Poorly-planned, sprawling cities have the potential to undermine efforts to sustain economic growth. In 2012, the Caterpillar Foundation supported the World Resources Institute to begin a sustainable urbanization and livable city research project for five cities in China, India and Brazil. Chengdu and Qingdao were selected as China's pilot cities. The research focuses on greenhouse gas emissions reduction, energy efficiency improvement, water quality and urban transport improvement, and research into land use status.

## Basic Human Needs

In 2015, the Caterpillar Foundation established a Disaster Preparedness and Mitigation Special Fund with the China Foundation for Poverty Alleviation – a leader in disaster relief in China. Beginning with an initial investment of \$250,000, each year the Foundation will allocate funds to the China Foundation for Poverty Alleviation to be used throughout the year as disasters occur across the country. This is a new and innovative approach to disaster relief funding that will ensure a more efficient and effective usage of funds – meaning the funds will go where they're needed most when a disaster strikes.

## Caterpillar Volunteerism

Over the past five years, more than 4,000 Caterpillar and dealer employees and their family members have volunteered to promote harmonious development of the communities. Since 2015, the Caterpillar Foundation selected China to pilot Caterpillar Global Month of Service to encourage all our staff to contribute to the health, happiness and economic stability of the local community and take part in activities beneficial to the public good.







# Customer Story

Caterpillar is committed to

## Supporting “Belt & Road” projects

The 86.5-km M5 highway project is the first construction project for China Road and Bridge Corporation (CRBC) in Belarus, marking a strategic step for CRBC to explore the eastern European market. Caterpillar (Qingzhou) Ltd. provided equipment solution based on the construction conditions of the customer, including SEM wheel loaders, motor graders and track-type tractors. These utility products can be used both during the highway construction period and the post-construction maintenance period, supporting CRBC to participate in the implementation of the Belt and Road Initiative.



## Improving ports efficiency

Qingdao port has a 120-year history and established business relationship with 450 ports in over 130 countries. Supported by nearly 100 Cat wheel loaders, Qingdao port, with 1.3% of China's total wharf length, handles 6.9% of the country's total ore throughput. It has broken the world record for ore unloading efficiency 18 times in nine years. Excellent Cat equipment and Cat dealer service have enabled the development of major ports across the country, helping them earn healthy economic returns and contributing greatly to the development of both the Chinese and world economies.

## Caterpillar is committed to

### Exploiting natural gas

The Sebei-Xining-Lanzhou Natural Gas Pipeline is an important channel to transmitting pure natural gas from the Headwaters Area of the Three Rivers safely and reliably to thousands of households. It lies 3,000 meters above sea level and transports nearly 6 billion cubic meters of pure natural gas across 920 kilometers every year. China Petroleum Pipeline Engineering Lanzhou Gas Transmission Branch chose gas turbine engines provided by Solar Turbines, a Caterpillar subsidiary, to ensure the reliable transmission of gas at such high altitude.

### Enhancing mine safety and efficiency

Shenhua Group has been cooperating with Caterpillar to develop Shenhua Xinjiang Zhundong Coalfield into a modern, efficient and large-scale mining base. In 2011 Shenhua Group was the first company in China to use the 220-ton Cat 793D mining truck as its main means of coal transportation. The mining trucks, working together with Cat wheel loaders, graders, and dozers have greatly improved the efficiency of the mine. It is a breakthrough solution that brings safety improvements and economic and environmental benefits, serving as a model for the development of the mining industry.



## Enabling uninterrupted operation of data centers

Data centers play an increasingly critical role in our daily life. From online shopping to hospital management, it is indispensable from Internet-based data exchange and storage. Stable power supply ensures the operation of data centers and the smooth user experience when they go surfing online. Cat gensets are used in various data centers across the country, providing normal or standby power.

## Reducing greenhouse gas emission

Caterpillar coal mine methane (CMM) power generation project has achieved a win-win result in greenhouse gas reduction and low-carbon economy. In 2006, Caterpillar partnered with Jincheng Anthracite Mining Group to collect CMM (a greenhouse gas and mining hazard) and use it as a source of power. Since then, Cat G3520C gas generator sets have contributed to the low-carbon economy as well as sustainable development in Jincheng.





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