

Slavery and Human Trafficking Statement

Caterpillar Inc (“Caterpillar”), is committed to respecting internationally recognized human rights throughout its global operations as noted in our [Human Rights Policy](#) and our [Supplier Code of Conduct](#). Caterpillar’s Human Rights Policy was developed taking into consideration principles in the Universal Declaration of Human Rights, and the International Labor Organization’s Declaration on Fundamental Principles and Rights at Work.

Suppliers are an essential part of Caterpillar’s extended value chain and Caterpillar is committed to working with them to uphold the principles in [Our Values in Action](#), Supplier Code of Conduct and Human Rights Policy. We safeguard against slavery and human trafficking in our supply chain, consistent with the objectives of the California Transparency in Supply Chains Act of 2010 and Section 54 of the United Kingdom’s Modern Slavery Act of 2015.

Verification

We assess potential human rights impacts across our supply chain, including any impact from forced, compulsory, or child labor, slavery and human trafficking. We identify select suppliers to complete a self-assessment. That assessment includes questions regarding the policies and procedures they have in place to tackle slavery and human trafficking in their own supply chain. The list of Caterpillar suppliers who are required to respond to the supplier code of conduct self-assessment has increased year over year.

Supplier Audits and Certification

Caterpillar reserves the right to verify that our suppliers comply with the Supplier Code of Conduct as needed. However, we do not currently perform on-site audits for social compliance or require that our suppliers certify that materials incorporated into products comply with laws regarding slavery and human trafficking in the countries in which they are doing business.

In the event that Caterpillar becomes aware of any actions or conditions within its supply chain which are not in compliance with Caterpillar’s Supplier Code of Conduct, Caterpillar reserves the right to require that the supplier implement corrective measures. A supplier’s continued non-compliance may lead to additional actions, up to and including termination of the business relationship.

Internal Accountability

Our standard purchase order terms and conditions require that suppliers comply with our Supplier Code of Conduct, including an expectation that our suppliers conduct all business in a manner that respects human rights.

We encourage our employees, suppliers and other stakeholders to report any human rights concerns or grievances to Caterpillar through the following avenues:

- Toll-free Helpline (U.S., Canada and U.S. Virgin Islands): 1-800-300-7898
- Email: BusinessPractices@cat.com
- International Toll-free Helpline numbers:
- www.caterpillar.com/en/company/code-of-conduct/office-of-business-practices.html

Training

Caterpillar's Code of Conduct helps Caterpillar employees every day by providing guidance on the behaviors that support Our Values in Action – Integrity, Excellence, Teamwork, Commitment and Sustainability. Consistent with those Values, we treat others with respect and we do not tolerate intimidation, discrimination or harassment. We are committed to complying with applicable laws, regulations and reporting requirements everywhere we do business. Slavery and Human Trafficking are inconsistent with our Values and will not be tolerated at Caterpillar, or anywhere in our supply chain.

All Caterpillar employees are required to complete Code of Conduct training on an annual basis. This training includes a certification by each employee that they are not aware of any activities (including human rights issues) that violate the Code.

In addition to annual Code of Conduct training, we also provide more detailed training on human rights when needed. In 2017, Caterpillar provided human rights training to those employees in job roles where human rights risks were deemed to be highest.