

## Slavery and Human Trafficking Statement

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Caterpillar Inc., including its majority owned subsidiaries, and joint ventures and following a transition period, newly acquired companies (“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](#), both of which are publicly available. Caterpillar’s Human Rights Policy, which was developed taking into consideration principles in the United Nations Declaration of Human Rights and the International Labor Organization’s Declaration on Fundamental Principles and Rights at Work, applies to the entire Caterpillar enterprise.

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 have implemented a number of actions to safeguard against slavery and human trafficking in our supply chain and support the objectives of the California Transparency in Supply Chains Act of 2010 and Section 54 of United Kingdom’s Modern Slavery Act of 2015:

### Verification

Caterpillar requires a selection of our suppliers to complete a self-assessment, requesting information on a number of issues set out in our Supplier Code of Conduct, including human rights, such as policies and procedures they have in place to tackle slavery and human trafficking in their own supply chain. The self-assessment is administered by a third party and addresses issues and questions determined by Caterpillar. In addition, we assess, through a third party, potential human rights impacts across a selection of suppliers, including the impacts to rights-holders from forced labor, slavery and human trafficking.

### Supplier Audits and Certification

Caterpillar reserves the right to verify our supplier’s compliance with the Supplier Code of Conduct. However, we do not currently perform audits 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 not in compliance with Caterpillar’s Supplier Code of Conduct, Caterpillar reserves the right to demand corrective measures.

### 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. Our employees are expected to observe our Values in Action and respect the human rights and dignity of all people. However, Caterpillar does not currently maintain internal procedures for employees regarding slavery and human trafficking specifically.

We encourage our employees, suppliers and other stakeholders to report any human rights concerns or grievances to Caterpillar’s Office of Business Practices through the following avenues:

- Toll-free Helpline (U.S., Canada and U.S. Virgin Islands): 1-800-300-7898
- Email: [BusinessPractices@cat.com](mailto:BusinessPractices@cat.com)

- International Toll-free Helpline numbers: [www.caterpillar.com/en/company/code-of-conduct/office-of-business-practices.html](http://www.caterpillar.com/en/company/code-of-conduct/office-of-business-practices.html)
- Caterpillar's Global Human Rights Manager can also be contacted directly at [Human.Rights@cat.com](mailto:Human.Rights@cat.com)

All reported incidents are managed through a formal process to understand and address the issue, as appropriate. In the event that Caterpillar becomes aware of any actions regarding a supplier not in compliance with Caterpillar's Supplier Code of Conduct, Caterpillar reserves the right to demand corrective measures.

## **Training**

As part of our enterprise human rights program, we have conducted human rights training for key human resources employees, country managers, all licensee product managers and the more than 200 external licensees, the compliance council, our dealer district managers, various executive leadership teams, the direct marketing group, the global security team, the mergers and acquisitions team, the product source planning group, the sustainability group and certain employees with responsibility for supply network relationships. Through our training, we promote a culture of ongoing awareness by helping our sourcing managers to identify potential human rights violations at our suppliers' facilities. We expect to provide human rights training to all other employees no later than December 31, 2017.