



CATERPILLAR TRADEMARK
MERCHANDISE LICENSE APPLICATION

Caterpillar Inc.
Retail Business Development
501 SW Jefferson ST
Peoria, IL 61605-2160

COMPANY INFORMATION

Company Name: _____
Primary Contact: _____ Title: _____
Contact Email: _____
Company Address: _____
City: _____ State: _____ Zip: _____
Country: _____
Telephone: (_____) _____ Fax Number: (_____) _____
Company Web Site: _____
Years in Business: _____ Current Number of Employees: _____

Description of Company:

Company ownership type: Public Private

Principal Owner(s) (complete name and business address) and ownership %:

1. _____ % 2. _____ %

Please list the key members of your management team:

President: _____
Vice President: _____
Licensing Manager: _____
CFO: _____
Other: _____
Other: _____

FINANCIAL INFORMATION

	2016	2015	2014	2013
Annual Gross Revenue Last four Years:				

Please provide your recent Dun & Bradstreet rating and attach a copy of the most recent report:

Number:	
Rating:	

Please provide a bank reference:

Bank Name: _____

Address: _____

Contact Name/Telephone: _____ (_____) _____

Credit References (name, business address, telephone number)

As an individual, officer of a corporation, or as a partner in a partnership, have you ever filed for bankruptcy voluntarily or been proceeded against involuntarily as bankrupt? If yes, give details - date, court, case number, etc.

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PRODUCT INFORMATION

Please provide a description of the product(s) for which you seek a license:

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Is a prototype or sample of the product to be sold available for review? Yes No

Please list other products your company sells that are not included in this license application:

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MANUFACTURING INFORMATION

Will your company manufacture this product(s) in your factory? Yes No

If not, who will manufacture this product? Name, address, telephone number:

Does your company have a formal quality control program? Yes No

If yes, what criteria are used for quality control?

Where will the product(s) be manufactured (country of origin)? _____

List the countries where you produce products in order of volume:

1. _____
2. _____
3. _____
4. _____
5. _____

MARKETING & DISTRIBUTION

Your firm must have marketing and distribution capabilities. Describe any advertising and promotional materials or programs you plan to use to market the above products:

Please check off all territories where you currently sell products. For international markets list the specific countries.

- USA Canada Mexico
- Europe _____
- Central America _____
- South America _____
- Middle East _____
- Asia _____
- Australia/New Zealand _____
- Other _____

Please list your top 10 retail “brick & mortar” accounts:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Please list your top 10 retail “online” accounts:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Please identify how you service retail accounts:

Please list three trade contacts we can contact and who would be able to provide us with an opinion on your company's product line and performance.

Company Name	Contact Name	Telephone Number

List the industry trade shows where you would exhibit these product(s):

LICENSING INFORMATION

Does your company currently manufacture any other products under licensing contracts?

Yes No

If yes, please specify which licenses your firm currently holds:

Please describe any other licensing experience your company may have:

Please estimate annual wholesale dollar volume of the products you wish to market under this license:

Year 1 USD\$ _____ Year 2 USD\$ _____

Proposed royalty rate % on wholesale price: _____ %

Proposed annual minimum royalty guarantee to Caterpillar Inc. USD\$ _____

Please enclose any additional information you believe may be helpful in evaluating your license request which should include, but not be limited to the following:

1. Non-returnable product samples at no charge to Caterpillar Inc. for evaluation of quality, workmanship, materials, etc.
2. Annual report, balance sheet and income statement.
3. Catalogs, brochures, and promotional materials which illustrate or reference your company's products.

ADDITIONAL INFORMATION

To provide for proper insurance coverage in the event of consumer litigation due to licensee marketing or products sold by licensees, Caterpillar Inc. requires licensees to have proof of certain types of valid insurance. Proof of insurance is in the form of a certificate naming Caterpillar as an insured party. Coverage limits vary from \$1 million to \$10 million, depending on the type of licensed articles.

Does your company currently have liability insurance?

Yes No

Please write any additional comments that might help us make a determination regarding this license request:

PROSPECTIVE LICENSEE STATEMENT

I am authorized to represent and obligate the company named below, and I and the company hereby attest that the information included herein is true and complete. I and the company understand that any license which may be granted to this company by Caterpillar Inc. is subject to immediate termination, without the return of any amount paid or the abatement of any amount due, if Caterpillar finds that false, misleading, fraudulent or incomplete information has been supplied.

I and the company hereby acknowledge the nature of all names, likenesses and marks of the properties represented by Caterpillar and that until such time, if any, as a license has been issued to this company, no rights exist for use thereof.

A non-refundable application fee of \$1,000.00 USD must accompany this application.

*All payments are to be made by wire transfer to:
JP MORGAN CHASE ABA Number: 021000021
Account of CATERPILLAR INC. No. 9102000800*

I and the company understand that this application does not constitute an offer from Caterpillar nor imply any obligation on the part of Caterpillar to grant a license in any category.

Caterpillar may reject this application for any reason.

Submitted by:

Signature: _____

Print Name: _____

Title: _____

Company: _____

Date: _____