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[Cecilmonari\\_Jamie@cat.com](mailto:Cecilmonari_Jamie@cat.com)**FOR IMMEDIATE RELEASE****Caterpillar Again Named to Dow Jones Sustainability Indices***Caterpillar is committed to contributing to a reduced-carbon future and helping customers achieve their climate-related objectives as they build a better, more sustainable world*

DEERFIELD, Ill. — Caterpillar Inc. (NYSE: CAT) has been named to the 2021 Dow Jones Sustainability Indices (DJSI), including the World and North America indices. This marks the 22<sup>nd</sup> time Caterpillar has been included in the DJSI.

The annual DJSI process evaluates numerous corporate economic, environmental and social performance factors. Some of Caterpillar's sustainability successes are:

- Continuing integration of sustainability into the enterprise strategy by establishing 2030 sustainability goals, tying a portion of executive compensation to environmental, social and governance (ESG) and creating a new leadership position of Chief Sustainability & Strategy Officer.
- Working alongside customers to understand their needs and investing in innovative products that facilitate fuel transition, increased operational efficiency and reduced emissions to help customers achieve their goals.
- Enhanced ESG-related disclosures, including a commitment to utilizing the Task Force on Climate-related Financial Disclosures (TCFD) framework for sustainability reporting starting in 2023.

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- Providing a positive work environment to strengthen a safety culture and support the health and wellbeing of a global workforce with unique talents, skills, abilities, backgrounds and experiences.
- Focusing on corporate citizenship and philanthropy to help build resilient communities around the world through the Caterpillar Foundation's investments in workforce development and sustainable infrastructure.

“Sustainability is one of our core values and an important element of our enterprise strategy for long-term profitable growth,” said Caterpillar Chairman and CEO Jim Umpleby. “We demonstrate our commitment to sustainability in many ways, including through our significant progress in reducing greenhouse gas emissions from our operations and our continued investment in new products, technologies and services to help our customers achieve their climate-related goals.”

For more on Caterpillar's sustainability progress and how the company is helping build a better world, read the 2020 Sustainability Report:

[www.caterpillar.com/en/company/sustainability.html](http://www.caterpillar.com/en/company/sustainability.html).

### **About Caterpillar**

With 2020 sales and revenues of \$41.7 billion, Caterpillar Inc. is the world's leading manufacturer of construction and mining equipment, diesel and natural gas engines, industrial gas turbines, and diesel-electric locomotives. Since 1925, we've been driving sustainable progress and helping customers build a better world through innovative products and services. Throughout the product life cycle, we offer services built on cutting-edge technology and decades of product expertise. These products and services, backed by our global dealer network, provide exceptional value to help our customers succeed. We do business on every continent, principally operating through three primary segments – Construction Industries, Resource Industries, and Energy & Transportation – and providing financing and related services through our Financial Products segment. Visit us at [caterpillar.com](http://caterpillar.com) or join the conversation on our social media channels at [caterpillar.com/social-media](http://caterpillar.com/social-media).

### **Forward-Looking Statements**

Certain statements in this press release relate to future events and expectations and are forward-looking statements within the meaning of the Private Securities Litigation Reform Act of 1995. Words such as “believe,” “estimate,” “will be,” “will,” “would,” “expect,” “anticipate,” “plan,” “forecast,” “target,” “guide,” “project,” “intend,” “could,” “should” or other similar words or expressions often identify forward-looking statements. All statements other than statements of historical fact are forward-looking

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statements, including, without limitation, statements regarding our outlook, projections, forecasts or trend descriptions. These statements do not guarantee future performance and speak only as of the date they are made, and we do not undertake to update our forward-looking statements. Caterpillar's actual results may differ materially from those described or implied in our forward-looking statements based on a number of factors, including, but not limited to: (i) global and regional economic conditions and economic conditions in the industries we serve; (ii) commodity price changes, material price increases, fluctuations in demand for our products or significant shortages of material; (iii) government monetary or fiscal policies; (iv) political and economic risks, commercial instability and events beyond our control in the countries in which we operate; (v) international trade policies and their impact on demand for our products and our competitive position, including the imposition of new tariffs or changes in existing tariff rates; (vi) our ability to develop, produce and market quality products that meet our customers' needs; (vii) the impact of the highly competitive environment in which we operate on our sales and pricing; (viii) information technology security threats and computer crime; (ix) inventory management decisions and sourcing practices of our dealers and our OEM customers; (x) a failure to realize, or a delay in realizing, all of the anticipated benefits of our acquisitions, joint ventures or divestitures; (xi) union disputes or other employee relations issues; (xii) adverse effects of unexpected events; (xiii) disruptions or volatility in global financial markets limiting our sources of liquidity or the liquidity of our customers, dealers and suppliers; (xiv) failure to maintain our credit ratings and potential resulting increases to our cost of borrowing and adverse effects on our cost of funds, liquidity, competitive position and access to capital markets; (xv) our Financial Products segment's risks associated with the financial services industry; (xvi) changes in interest rates or market liquidity conditions; (xvii) an increase in delinquencies, repossessions or net losses of Cat Financial's customers; (xviii) currency fluctuations; (xix) our or Cat Financial's compliance with financial and other restrictive covenants in debt agreements; (xx) increased pension plan funding obligations; (xxi) alleged or actual violations of trade or anti-corruption laws and regulations; (xxii) additional tax expense or exposure, including the impact of U.S. tax reform; (xxiii) significant legal proceedings, claims, lawsuits or government investigations; (xxiv) new regulations or changes in financial services regulations; (xxv) compliance with environmental laws and regulations; (xxvi) the duration and geographic spread of, business disruptions caused by, and the overall global economic impact of, the COVID-19 pandemic; and (xxvii) other factors described in more detail in Caterpillar's Forms 10-Q, 10-K and other filings with the Securities and Exchange Commission.