



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

RQ-2

December 5, 2013

MICHAEL C. MORRISON, TREASURER
THE CATERPILLAR INC. EMPLOYEE
POLITICAL ACTION COMMITTEE
100 N.E. ADAMS STREET
PEORIA, IL 61629-1430

Response Due Date
01/09/2014

IDENTIFICATION NUMBER: C00148031

REFERENCE: OCTOBER MONTHLY REPORT (09/01/2013 - 09/30/2013)

Dear Treasurer:

This letter is prompted by the Commission's preliminary review of the report referenced above. This notice requests information essential to full public disclosure of your federal election campaign finances. **Failure to adequately respond by the response date noted above could result in an audit or enforcement action.** Additional information is needed for the following 1 item(s):

- Schedule A (see attached) discloses a contribution(s) from an individual(s) who has a mailing address outside of the United States of America. Please be advised that 2 U.S.C. §441e(a) and 11 CFR §110.20 prohibit foreign nationals from making contributions in connection with any election for political office or in connection with any primary election, convention, or caucus held to select candidates for any political office.

If the apparently prohibited contribution(s) in question was incompletely or incorrectly disclosed, you should amend your original report with clarifying information.

If your committee follows the safe harbor guidelines outlined under 11 CFR §110.20(a)(7) for all contributions received from a foreign address to ensure that the sources of these contributions are not foreign nationals, please provide a detailed description of your procedures. These procedures must be used in all cases where a contributor or donor uses a foreign passport or passport number for identification purposes, provides a foreign address, makes a contribution or donation by means of a check or other written instrument drawn on a foreign bank or by wire transfer from a foreign bank, or resides abroad. A committee is deemed to have conducted a reasonable inquiry into the contributor or donor's nationality if you seek and obtain copies of current and valid U.S. passport

THE CATERPILLAR INC. EMPLOYEE POLITICAL ACTION COMMITTEE

Page 2 of 2

papers for U.S. citizens. No person may rely on this safe harbor if he or she has actual knowledge that the source of the funds solicited, accepted, or received is a foreign national.

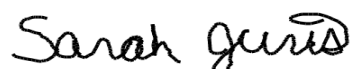
If you have received a contribution from a foreign national, you must refund the impermissible contribution to the donor in accordance with 11 CFR §103.3(b). Please inform the Commission of your corrective action immediately in writing and provide a photocopy of your check for the refund. In addition, any refunds should be disclosed on Schedule B supporting Line 28 (a) of the report during which the transaction was made.

Although the Commission may take further legal action concerning the acceptance of a prohibited contribution(s), prompt action on your part to refund or provide clarifying information concerning these contributions will be taken into consideration.

Please note, you will not receive an additional notice from the Commission on this matter. Adequate responses must be received by the Commission on or before the due date noted above to be taken into consideration in determining whether audit action will be initiated. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action. **Requests for extensions of time in which to respond will not be considered.**

Electronic filers must file amendments (to include statements, designations and reports) in an electronic format and must submit an amended report in its entirety, rather than just those portions of the report that are being amended. If you should have any questions regarding this matter or wish to verify the adequacy of your response, please contact me on our toll-free number (800) 424-9530 (at the prompt press 5 to reach the Reports Analysis Division) or my local number (202) 694-1175.

Sincerely,



Sarah Juris
Campaign Finance Analyst
Reports Analysis Division

Excessive, Prohibited, and Impermissible Contributions
The Caterpillar Inc. Employee Political Action Committee (C00148031)

Contributions from Possible Foreign Nationals

Contributor Name	Date	Amount	Report
Brian Abbott	9/30/2013	\$94.37	2013 October Monthly
Jay Alexander	9/30/2013	\$100.00	2013 October Monthly
Mark Bainbridge	9/30/2013	\$100.00	2013 October Monthly
Gregory Bates	9/30/2013	\$25.00	2013 October Monthly
Robert Beneke	9/30/2013	\$50.00	2013 October Monthly
Eric Braun	9/30/2013	\$35.00	2013 October Monthly
Donald Bridenbaugh	9/30/2013	\$25.00	2013 October Monthly
Xiao Chen	9/30/2013	\$50.00	2013 October Monthly
Robert Coon	9/30/2013	\$86.05	2013 October Monthly
Kristen Covey	9/30/2013	\$50.00	2013 October Monthly
Anthony Edmonds	9/30/2013	\$50.00	2013 October Monthly
Bart Finn	9/30/2013	\$24.48	2013 October Monthly
John Hall	9/30/2013	\$48.62	2013 October Monthly
Gary Hendrickson	9/30/2013	\$124.46	2013 October Monthly
Lance High	9/30/2013	\$100.00	2013 October Monthly
Robert Hoenes	9/30/2013	\$25.00	2013 October Monthly
Gregory Janssen	9/30/2013	\$25.00	2013 October Monthly
Bradley Johnson	9/30/2013	\$50.00	2013 October Monthly
Zachary Kauk	9/30/2013	\$182.30	2013 October Monthly
Steven Kibby	9/30/2013	\$102.64	2013 October Monthly
Mark Lang	9/30/2013	\$139.98	2013 October Monthly
Monique Liard	9/30/2013	\$50.00	2013 October Monthly
Scott Magner	9/30/2013	\$25.00	2013 October Monthly
Mark Manning	9/30/2013	\$50.00	2013 October Monthly
James Matteo	9/30/2013	\$107.53	2013 October Monthly
Phillip Maxheimer	9/30/2013	\$25.00	2013 October Monthly
Sandra McCartney	9/30/2013	\$100.00	2013 October Monthly
Mary Miller	9/30/2013	\$50.00	2013 October Monthly
Djuana Montgomery	9/30/2013	\$127.64	2013 October Monthly
Erec Montgomery	9/30/2013	\$144.16	2013 October Monthly
David Nicoll	9/30/2013	\$25.00	2013 October Monthly
Matthew Noe	9/30/2013	\$25.00	2013 October Monthly
Dennis Orourke	9/30/2013	\$25.00	2013 October Monthly
David Phipps	9/30/2013	\$25.00	2013 October Monthly
Ennodio Ramos	9/30/2013	\$10.00	2013 October Monthly
Edward Rapp	9/30/2013	\$416.66	2013 October Monthly
Anthony Rassi	9/30/2013	\$50.00	2013 October Monthly
Davis Reese	9/30/2013	\$30.00	2013 October Monthly
Michael Reinsma	9/30/2013	\$50.00	2013 October Monthly
William Roberts	9/30/2013	\$50.00	2013 October Monthly
Kristine Spencer	9/30/2013	\$85.96	2013 October Monthly

Excessive, Prohibited, and Impermissible Contributions (cont'd)
The Caterpillar Inc. Employee Political Action Committee (C00148031)

Contributor Name	Date	Amount	Report
Mark Stratton	9/30/2013	\$50.00	2013 October Monthly
Robert Strong	9/30/2013	\$192.23	2013 October Monthly
Xiaobo Sun	9/30/2013	\$50.00	2013 October Monthly
Charles Tobias	9/30/2013	\$76.25	2013 October Monthly
Susan Toher	9/30/2013	\$150.00	2013 October Monthly
Andrew Trent	9/30/2013	\$30.00	2013 October Monthly
Tana Utley	9/30/2013	\$454.55	2013 October Monthly
Darren Vandermolen	9/30/2013	\$50.00	2013 October Monthly
Paul Wroblewski	9/30/2013	\$45.00	2013 October Monthly
Derrick York	9/30/2013	\$25.00	2013 October Monthly