



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

RQ-2

February 5, 2014

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

Response Due Date
03/12/2014

IDENTIFICATION NUMBER: C00148031

REFERENCE: NOVEMBER MONTHLY REPORT (10/01/2013 - 10/31/2013)

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

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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.

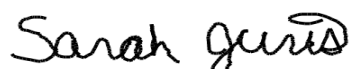
If you have received a contribution from a foreign national, you must refund the impermissible contribution to the donor in accordance with 11 CFR §103.3(b). Please inform the Commission of your corrective action immediately in writing and provide a photocopy of your check for the refund. In addition, 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	10/31/2013	\$94.37	2013 November Monthly
Jay Alexander	10/31/2013	\$100.00	2013 November Monthly
Mark Bainbridge	10/31/2013	\$100.00	2013 November Monthly
Gregory Bates	10/31/2013	\$25.00	2013 November Monthly
Robert Beneke	10/31/2013	\$50.00	2013 November Monthly
Eric Braun	10/31/2013	\$35.00	2013 November Monthly
Donald Bridenbaugh	10/31/2013	\$25.00	2013 November Monthly
Xiao Chen	10/31/2013	\$50.00	2013 November Monthly
Robert Coon	10/31/2013	\$86.05	2013 November Monthly
Kristen Covey	10/31/2013	\$50.00	2013 November Monthly
Anthony Edmonds	10/31/2013	\$50.00	2013 November Monthly
Bart Finn	10/31/2013	\$24.48	2013 November Monthly
John Hall	10/31/2013	\$48.62	2013 November Monthly
Gary Hendrickson	10/31/2013	\$124.46	2013 November Monthly
Lance High	10/31/2013	\$100.00	2013 November Monthly
Robert Hoenes	10/31/2013	\$25.00	2013 November Monthly
Gregory Janssen	10/31/2013	\$25.00	2013 November Monthly
Bradley Johnson	10/31/2013	\$50.00	2013 November Monthly
Zachary Kauk	10/31/2013	\$182.30	2013 November Monthly
Steven Kibby	10/31/2013	\$102.64	2013 November Monthly
Mark Lang	10/31/2013	\$139.98	2013 November Monthly
Monique Liard	10/31/2013	\$50.00	2013 November Monthly
Scott Magner	10/31/2013	\$25.00	2013 November Monthly
Mark Manning	10/31/2013	\$50.00	2013 November Monthly
James Matteo	10/31/2013	\$107.53	2013 November Monthly
Phillip Maxheimer	10/31/2013	\$25.00	2013 November Monthly
Sandra McCartney	10/31/2013	\$100.00	2013 November Monthly
Djuana Montgomery	10/31/2013	\$127.64	2013 November Monthly
Erec Montgomery	10/31/2013	\$144.16	2013 November Monthly
David Nicoll	10/31/2013	\$25.00	2013 November Monthly
Matthew Noe	10/31/2013	\$25.00	2013 November Monthly
Dennis Orourke	10/31/2013	\$25.00	2013 November Monthly
David Phipps	10/31/2013	\$25.00	2013 November Monthly
Ennodio Ramos	10/31/2013	\$10.00	2013 November Monthly
Edward Rapp	10/31/2013	\$416.66	2013 November Monthly
Anthony Rassi	10/31/2013	\$50.00	2013 November Monthly
Davis Reese	10/31/2013	\$30.00	2013 November Monthly
Michael Reinsma	10/31/2013	\$50.00	2013 November Monthly
Steven Rich	10/31/2013	\$25.00	2013 November Monthly
William Roberts	10/31/2013	\$50.00	2013 November Monthly
Kristine Spencer	10/31/2013	\$85.96	2013 November Monthly

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

Contributor Name	Date	Amount	Report
Mark Stratton	10/31/2013	\$50.00	2013 November Monthly
Robert Strong	10/31/2013	\$201.85	2013 November Monthly
Xiaobo Sun	10/31/2013	\$50.00	2013 November Monthly
Daniel Sundell	10/31/2013	\$112.91	2013 November Monthly
Charles Tobias	10/31/2013	\$76.25	2013 November Monthly
Andrew Trent	10/31/2013	\$30.00	2013 November Monthly
Tana Utley	10/31/2013	\$454.55	2013 November Monthly
Darren Vandermolen	10/31/2013	\$50.00	2013 November Monthly
Paul Wroblewski	10/31/2013	\$45.00	2013 November Monthly