Edgar Filing: SCHWAB SUSAN C - Form 4

SCHWAB SU Form 4	SAN C										
July 03, 2018											
FORM	4								PPROVAL		
	UNITED	STATES	SECURITIES AND EXCHANGE COMMISSIO Washington, D.C. 20549					N OMB Number:	3235-028	87	
Check this if no longer subject to Section 16. Form 4 or Form 5 obligations	STATEM Filed put	Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section								31, 05 0.5	
may contine See Instruct 1(b).	ue.			•	•	ny Act of 1		on			
(Print or Type Rea	sponses)										
1. Name and Address of Reporting Person <u>*</u> SCHWAB SUSAN C			Symbol	er Name an		-	5. Relationship of Reporting Person(s) to Issuer				
(1 4)	(E :t)	(11.)		RPILLAR	-	AIJ	(Check all applicable)				
(Last) (First) (Middle) 510 LAKE COOK ROAD, SUITE 100				of Earliest T Day/Year) 2018	ransaction		X_ Director 10% Owner Officer (give title Other (specify below) below)				
	4. If Amendment, Date Original Filed(Month/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person Form filed by More than One Reporting						
DEERFIELD	, IL 60015						Person	More than One K	eporting		
(City)	(State)	(Zip)	Tat	ole I - Non-l	Derivative	Securities A	Acquired, Disposed	of, or Beneficia	lly Owned		
	Transaction Date Ionth/Day/Year)	2A. Deemo Execution any (Month/Da	Date, if	Code Disposed of (D)		(A) or of (D) 4 and 5) (A)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code V	Amount	(D) Price	(filsti: 5 and 4)				
Reminder: Repor	t on a separate line	e for each cla	ass of sec	urities bene	Perso inforr requi	ons who res nation cont red to resp	or indirectly. spond to the colle tained in this forn ond unless the fo ntly valid OMB co	n are not rm	SEC 1474 (9-02)		

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

number.

(*e.g.*, puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number	6. Date Exercisable and	7. Title and Amount of	8. Price
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	onof	Expiration Date	Underlying Securities	Derivativ
Security	or Exercise		any	Code	Derivative	(Month/Day/Year)	(Instr. 3 and 4)	Security

Edgar Filing: SCHWAB SUSAN C - Form 4

(Instr. 3)	Price of Derivative Security	(Month/Day/	Year) ((Instr. 8	-	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			(Instr. 5)			
			(Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	<u>(1)</u>	06/29/2018		А		274 (2)		(3)	(3)	Common Stock	274	\$ 136.7

Reporting Owners

Reporting Owner Name / Address	Relationships							
	Director	rector 10% Owner Officer						
SCHWAB SUSAN C 510 LAKE COOK ROAD, SUITE 100 DEERFIELD, IL 60015	Х							
Signatures								
By: /s/ Barbara Thomas, POA for Susan Schwab	C.	07/0	3/2018					
**Signature of Reporting Person		Γ	Date					

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Each Phantom Stock unit is the economic equivalent to one share of Caterpillar Inc. common stock.
- (2) Phantom stock units awarded or acquired in lieu of director cash compensation
- (3) The phantom stock units were acquired under the Caterpillar Inc. Director's Deferred Compensation Plan and are to be settled 100% in cash upon the reporting person's retirement or separation from service.
- (4) Includes adjustments for dividends accrued.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.