



Organization: The 2017 Caterpillar Trust
Address: Country: VIRGIN ISLANDS, U.S.
Tracking ID: KYC [REDACTED]

Reporting ID:

Alerted Entity #: 1 of 1

Risk Priority: Critical

Alert ID: [REDACTED]

Entity Information

Entity ID: [REDACTED]

Riskid: [REDACTED]

Entity Name: Caterpillar Inc.

Alias: • CAT

- Caterpillar Belgium SA
- Caterpillar (NI) Limited
- FG Wilson (Engineering) Ltd
- Caterpillar International Finance Ltd
- Caterpillar Financial Services Corp
- Caterpillar SARL
- 卡特彼勒
- Caterpillar Credito, S.A. de C.V. SOFOM E.N.R.

- Address: • Morton, Illinois, UNITED STATES
- AUSTRALIA
 - SWITZERLAND
 - Old Glenam Road, Lame, Northern Ireland, BT40 1EJ, UNITED KINGDOM
 - Avenue des Etats-Unis 1, Gosselies, Hainaut, 6041, BELGIUM
 - 100 North East Adams Street, Peoria, Illinois, 61629, UNITED STATES

Riskography: In January 2013, Caterpillar was charged with fraud after a disclosure of "deliberate, multi-year, coordinated accounting misconduct" at the Siwei unit of ERA Mining Machinery (ERA). Caterpillar closed the purchase of ERA and its subsidiary Siwei in June 2012, paying \$653.4 million. After the deal was closed, Caterpillar found that physical inventory did not match the accounting statements. In January 2013, Caterpillar announced that it would write off most of the \$654 million which it had paid to acquire ERA. In 2011, a former Caterpillar executive accused the company of using offshore subsidiaries to avoid paying \$2 billion in U.S. taxes from 2000 to 2009. It paid \$2.55 million to settle allegations that it violated the U.S. Clean Air Act, according to the U.S. Justice Department.

- Recent Event(s):** • ENV - Environmental Crimes (Poaching, Illegal Logging, Animal Cruelty / ASC - Associated with, Seen with, 12/08/2017
United Industries LLC, a subsidiary of Progress Rail Services, Inc., which itself is a subsidiary of Caterpillar, Inc., pleaded guilty to a federal environmental offense of dumping parts into the ocean to conceal that it was performing unnecessary and improper repairs for several railcar operators and was imposed a sentence that required United Industries to pay a \$5 million criminal fine and \$20 million in restitution to three victim companies - TTX Company, Pacer International and Greenbrier Company. As a result of illegal conduct that spanned the years 2008 through 2014 - including the unnecessary and improper repairs on railcar adapters, brake beams, grating platforms, brake shoes, friction castings, hand brakes, roof liners and side bearings - United Industries earned at least \$5 million., 12/08/2017, [DOJ US Attorneys Offices Press Releases 2017](#)
- Event:** • REG - Regulatory Action / FIM - Fine - More than \$10,000, 04/04/2003
Caterpillar, Inc. has remitted \$ 18,000.00 to settled allegations of a violations of 515 Sanctions Program. Actual or Alleged Violation of Export (Goods or Services), 04/04/2003, [OFAC Civil Penalties List](#)
- SEC - SEC Violations (Insider Trading, Securities Fraud) / DMS - Dismissed, 02/25/2016
The Securities and Exchange Commission ends tax probe without action against its foreign subsidiary, known as Caterpillar SARL., 02/25/2016, [McClatchy Tribune Academic Restricted](#)
 - IRC - Iran Connect / ASC - Associated with, Seen with, 08/24/2012
Caterpillar Inc was listed among hundreds of US companies identified by the New York Times on 24 December 2010 that took legal advantage of a controversial loophole in US sanctions legislation to