



DB12000P - Deutsche Bank Private Bank

Batch Date: 2/5/2018
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Alert
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Organization: The 2017 Caterpillar Trust
Address: Country: VIRGIN ISLANDS, U.S.
Tracking ID: KYC 01898372

Reporting ID:

Alerted Entity #: 1 of 1

Risk Priority: Critical

Alert ID: 12612432.11620920.86458141

- Wsj.com listed an article on 3 March 2017, re: The Caterpillar Inc. locations searched were believed to be connected to the Caterpillar subsidiary known as CSARL. The search was in connection with a possible tax matter. Caterpillar Chief Executive Jim Umpleby said the company believes the search warrant is connected to the Switzerland-based subsidiary, which he noted had been under review for more than three years., 03/03/2017, [Special Media](#)
- TAX - Tax Related Offenses / ACT - Disciplinary, Regulatory Action, 03/14/2017
Cat is accused of being engaged in tax and accounting fraud. Agents from the Internal Revenue Service and other government body raided Cat's World Headquarters and some offices. IRS is already seeking \$2 billion in taxes and penalties, which Cat is appealing, and no charges have been filed., 03/14/2017, [Register-Mail, The \(Galesburg, IL\)](#)
 - SEC - SEC Violations (Insider Trading, Securities Fraud) / SET - Settlement or Suit, 04/20/2017
The Law Offices of Vincent Wong announce that a class action lawsuit has been commenced in the United States District Court for the Northern District of Illinois on behalf of investors who purchased Caterpillar, Inc. According to the complaint, throughout the Class Period, the Company issued materially false and misleading statements and/or failed to disclose., 04/20/2017, [Legal Monitor Worldwide \(Jordan\)](#)
 - REG - Regulatory Action / SET - Settlement or Suit, 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](#)
 - TAX - Tax Related Offenses / SET - Settlement or Suit, 03/21/2017
Caterpillar Inc. was named in a class action lawsuit for unlawfully used foreign subsidiaries to avoid paying billions of dollars in U.S. taxes, heightened regulatory scrutiny and potential criminal sanctions, Caterpillars public statements were materially false and misleading at all relevant times., 03/21/2017, [Legal Monitor Worldwide \(Jordan\)](#)
 - SEC - SEC Violations (Insider Trading, Securities Fraud) / CMP - Complaint Filed, 03/29/2017
This class action seeks to recover damages against Defendants for alleged violations of the federal securities laws under the Securities Exchange Act of 1934 (the Exchange Act)., 03/29/2017, [Legal Monitor Worldwide \(Jordan\)](#)
 - FRD - Fraud, Scams, Swindles / PRB - Probe, 03/08/2017
A US government-commissioned review concluded Caterpillar intentionally committed tax and financial reporting fraud. Federal agents last week raided the Illinois headquarters of the US industrial giant, which failed to account for \$7.9 billion in overseas income for tax purposes. The Internal Revenue Service in November notified Caterpillar that it owed about \$2 billion in adjustments and penalties connected to returns from 2010 to 2012., 03/08/2017, [Agence France-Presse](#)
 - SEC - SEC Violations (Insider Trading, Securities Fraud) / PRB - Probe, 02/19/2016
Securities and Exchange Commission completed an investigation related to its SARL subsidiary, did not recommend an enforcement action, 02/19/2016, [Newsbank - North Carolina News Sources](#)
 - REG - Regulatory Action / PRB - Probe, 04/04/2017
A federal raid of Caterpillar Inc. offices reveled company's controversial strategy to avoid paying U.S. taxes, and also Securities and Exchange Commission set for inquiries that its business interests in three sanctioned countries: Sudan, Syria and Iran. in 2012 after a series of depositions laid out the company's tax strategy in public for the first time, parts sales generated \$5.6 billion in profit over several years -

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