



Statement Date: April 12, 2022



UPoint™
CatBenefitsCenter.com

SARAH D. WARD
124 HEATHERBROOKE CIR
OVIEDO FL 32765

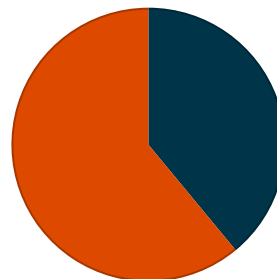
Online Account Statement - 401(k) Savings Plan

401(k) Savings Plan	
Account Summary	03-01-2021 to 03-31-2022
Opening Balance	\$301,997.24
Deposits	\$364.80
Withdrawals	\$0.00
Fees/Expenses	-\$54.25
Gains/Losses	\$20,801.47
Closing Balance	\$323,109.26
Vested Balance	\$323,109.26
Your Personal Rate of Return	6.99%

Scan here to learn how a professional can manage your account.



Contributions and Earnings



You	\$125,294.17	39%
Employer	\$197,815.09	61%
Total	\$323,109.26	100%

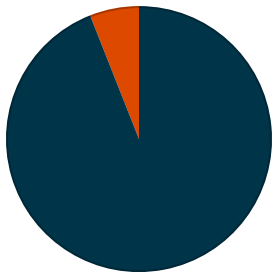
Your Balances

As of 03-31-2022

	Contributions & Earnings	Percent of Balance	Vested Percent
Before-Tax	\$125,294.17	39%	100%
Company Match	\$133,166.64	41%	100%
Annual Employer Contribution	\$64,648.45	20%	100%
Total	\$323,109.26	100%	

Your Investment Summary

Asset Allocation as of 04-12-2022



■	Target Retirement Funds	94%
■	Company Stock	6%

Keep a Long Term View



A diversified account will weather the market's ups and downs. Develop an investment strategy based on reason instead of emotion—and stick with it.

Fund Allocation as of 03-31-2022

Fund Name	Current Allocation
Target Retirement 2040 Fund	94%
Caterpillar Stock Fund	6%

Activity Detail by Fund

03-01-2021 to 03-31-2022		Asset Class	
		Target Retirement Funds	Company Stock
Fund Name	All Funds Total	Trgt Ret 2040	Cat Stock
Opening Balance	\$301,997.24	\$283,833.56	\$18,163.68
Dividends	\$364.80	\$0.00	\$364.80
Gains/Losses	\$20,801.47	\$20,177.47	\$624.00
Expenses	-\$54.25	-\$51.23	-\$3.02
Closing Balance	\$323,109.26	\$303,959.80	\$19,149.46
Closing Units		15,804.415	63.336
Unit Price (NAV)		19.232588	302.347998

Your Stock Information

As of 03-31-2022

	Equivalent Shares	Stock Fund Cost	Stock Price	Total Stock Value
Caterpillar Stock Fund	85.94	\$6,164.14	\$222.82	\$19,149.46

If you are invested in company stock, you can direct the manner in which the Trustees will vote your interest. Before a vote takes place, you will be given more information about your voting rights, the issues being voted on, and the voting process.

Your Fee and Expense Details

03-01-2021 to 03-31-2022

	Amount
Monthly Plan Expense	\$54.25

Some of the plan's administrative expenses for the period may have been paid by fees from one or more of the plan's investment funds. These expenses are included in the expense ratio (total annual operating expenses) provided in the applicable investment fund disclosures.

Your Beneficiaries

As of 03-31-2022

You may change your Caterpillar 401(k) Savings Plan beneficiaries at any time using UPoint™ at CatBenefitsCenter.com.

Primary Beneficiary	Benefit Percentage	Relationship
Jason D. Ward	100%	Spouse

Contingent Beneficiary	Benefit Percentage	Relationship
JACOB D. WARD	Equal	Child
JENNAH G. WARD	Equal	Child
Josie L. WARD	Equal	Child

Protect Your Data

Caterpillar is committed to helping you keep your account secure. In addition to the strict security measures and procedures we take to limit risk, below are commonsense steps you can follow to protect your account:

- **Keep all contact information (including mobile number) up to date** so that we may contact you quickly if we suspect suspicious activity.
- **Update security software on any device you use to access your account.** Use a private device and a protected wireless connection.
- **Choose a password that you'll only use for this account.** Don't save your logon information on a device.
- **Do not share your account access or logon information** with anyone, including friends and family.
- **Contact us immediately if:**
 - Your benefits account logon information was compromised or your benefits account-related information was affected by identity theft (for example, if someone's using your credentials to impersonate you).
 - You receive any communications about suspicious account activity.

For More Information

Review your account statement carefully. If you believe this statement doesn't accurately represent your contributions, investment allocations, or account activity, contact the Caterpillar Benefits Center within 45 days of this statement.



Online

UPoint™

at CatBenefitsCenter.com



Phone

Monday through Friday, 8:00 a.m. to 6:00 p.m. Central Time.

toll-free at 1-877-228-4010 (United States)

+1-718-354-1345 (Outside the United States)

TIP: Shortest call waiting times are Wednesday-Friday.

In the event that the content of this document or any oral representations made by any person regarding the Plan conflict with or are inconsistent with the provisions of the Plan document, the provisions of the Plan document are controlling. To the fullest extent permitted by law, Caterpillar reserves the right to amend, modify, suspend, replace or terminate any of its plans, policies or programs, in whole or in part, at any time and for any reason, by appropriate company action.

