CIPA Congress 2014

Caterpillar - Law & Public Policy
Intellectual Property Department

Eric Siecker
Head of IP – Europe, Africa, Middle East & CIS

3 October, 2014

Caterpillar - Construction Industries

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Caterpillar - Energy & Transportation Industries

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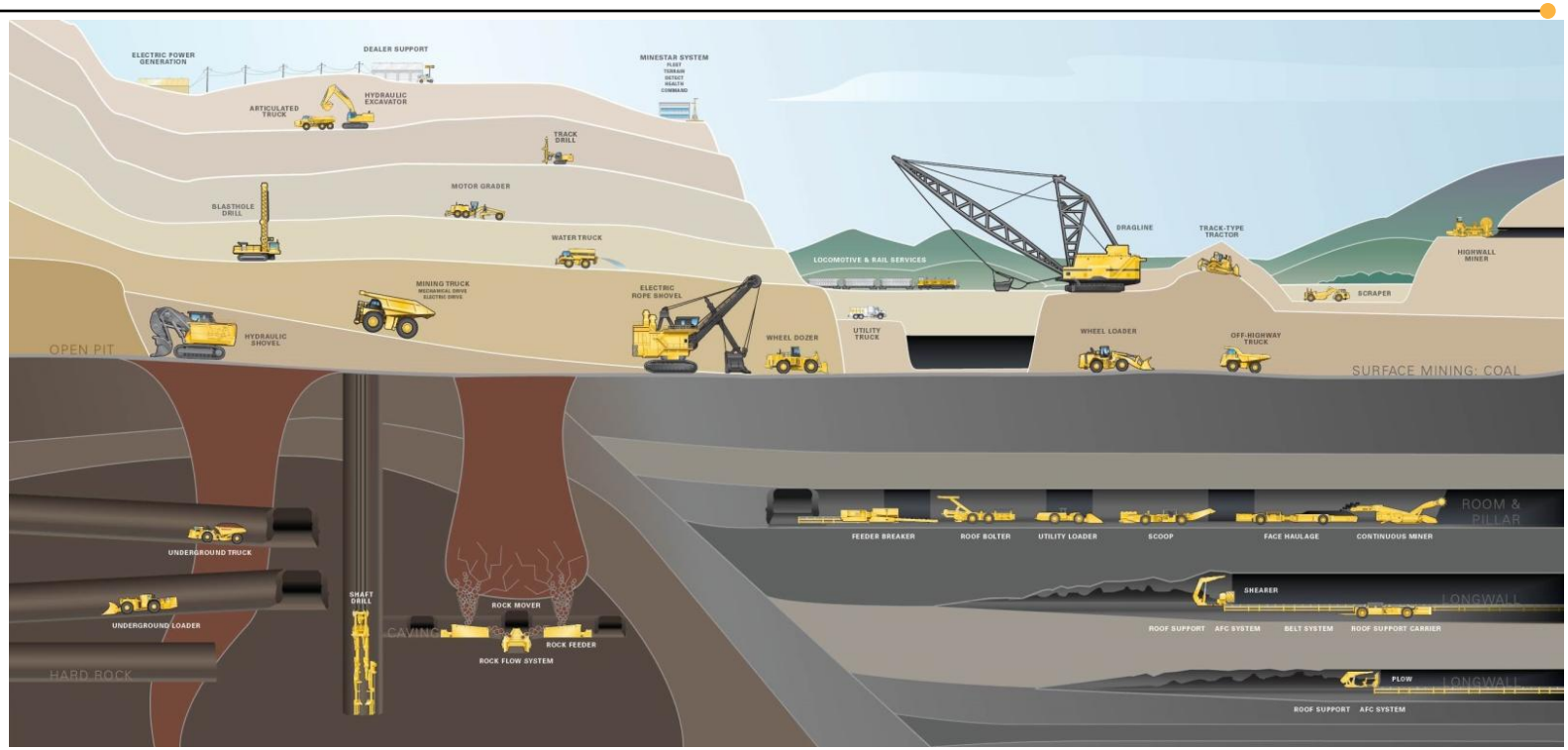
Caterpillar - Resource Industries



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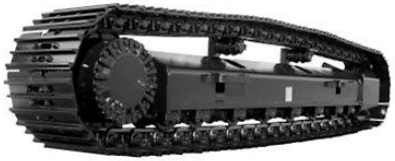
Caterpillar – Part machines, components & (spare) parts



CAT Genuine Parts: Offer aftermarket parts
CAT OEM solutions: Offer components & part machines
CAT REMAN: Remanufacture used components & parts back to “same-as-new”

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Caterpillar – Global snapshot (2013 data)

- **Employees:** around 120,000
- **Customers: >** 180 countries around the globe with more than 300 product lines.
- **Distribution network:** 178 independently owned dealers, 3,500 stores, 162,000 employees.
- **Supply chain: >** 23000 suppliers located in 90 countries.
- **R&D spend:** $2B
- **Sales & Revenue:** $55.7B
- **Business by region:**
  - North America: 37%
  - EAME: 24%
  - Asia-Pacific: 23%
  - Latin America: 16%

IP portfolio (granted & pending):

- Trademarks:	12,000
- Patents:	14,500
- Domain names:	2,500

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Caterpillar – Patent strategy fundamentals

- Freedom to operate
  - Risk management (patent clearance)
  - Supply chain management (IP ownership, exit options, double sourcing, “Test + Validation = IP”)
  - Strategic IP alliances (technology access)

- Protect our R&D investments
  - “Traditional” competitors

- Protect our parts business
  - Suppliers, will-fitters, counterfeiters

- 2013 US SEC 10-K filing:
  - “*We do not regard any of our business as being dependent upon any single patent or group of patents.*”

- Enterprise IP Policy:
  - “*Caterpillar respects the valid and enforceable IP rights of others and expects that others will respect Caterpillar’s IP rights.*”

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