

UNITED STATES DISTRICT COURT

for the
Central District of Illinois

In the Matter of the Search of
(Briefly describe the property to be searched
or identify the person by name and address)

The business premises of Caterpillar, Inc. located at 100
NE Adams St., Peoria, Illinois, as more particularly
described on Attachment A

Case No. 17-MJ- 7039

SEARCH AND SEIZURE WARRANT

To: Any authorized law enforcement officer

An application by a federal law enforcement officer or an attorney for the government requests the search
of the following person or property located in the Central District of Illinois
(identify the person or describe the property to be searched and give its location):

The business premises of Caterpillar, Inc., located at 100 NE Adams Street, Peoria, Illinois, as more particularly described
on Attachment A, which is attached hereto and specifically made a part hereof by reference.

I find that the affidavit(s), or any recorded testimony, establish probable cause to search and seize the person or property
described above, and that such search will reveal (identify the person or describe the property to be seized):

See Attachment D, which is attached hereto and specifically made a part hereof by reference.

YOU ARE COMMANDED to execute this warrant on or before March 9, 2017 (not to exceed 14 days)
in the daytime 6:00 a.m. to 10:00 p.m. at any time in the day or night because good cause has been established.

Unless delayed notice is authorized below, you must give a copy of the warrant and a receipt for the property taken to the
person from whom, or from whose premises, the property was taken, or leave the copy and receipt at the place where the
property was taken.

The officer executing this warrant, or an officer present during the execution of the warrant, must prepare an inventory
as required by law and promptly return this warrant and inventory to me or any judicial officer of this district
(United States Magistrate Judge)

Pursuant to 18 U.S.C. § 3103a(b), I find that immediate notification may have an adverse result listed in 18 U.S.C.
§ 2705 (except for delay of trial), and authorize the officer executing this warrant to delay notice to the person who, or whose
property, will be searched or seized (check the appropriate box)

for days (not to exceed 30) until, the facts justifying, the later specific date of

Date and time issued: 2.24.17 11:11 am [Signature]

City and state: Urbana, Illinois

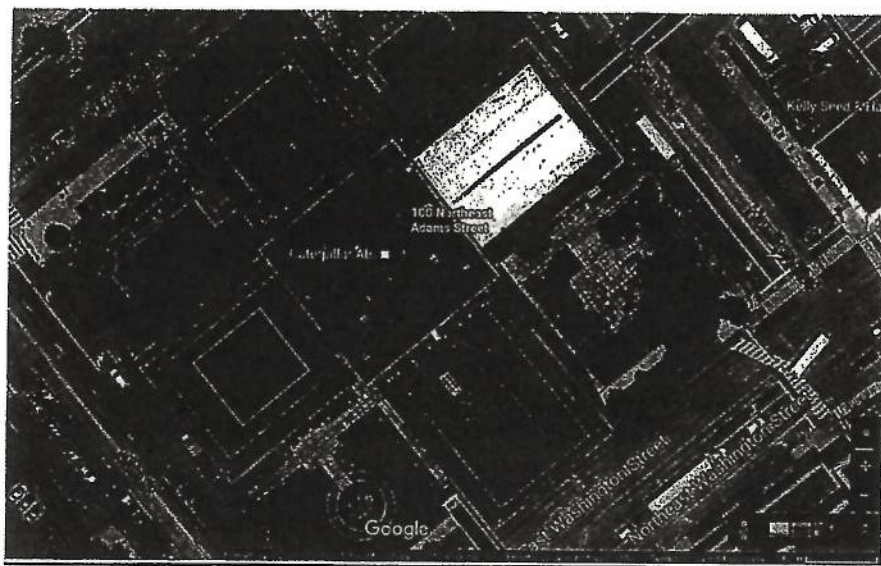
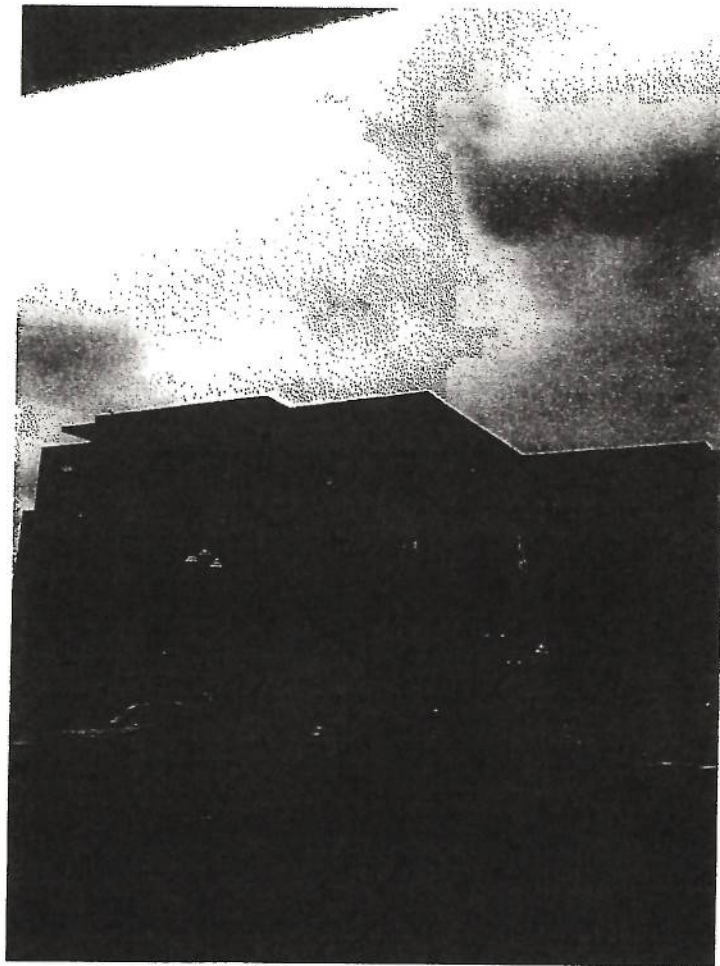
Harold A. Baker, United States District Judge
Printed name and title

ATTACHMENT A

PROPERTY TO BE SEARCHED

The primary global headquarters of Caterpillar, Inc., commonly known as Caterpillar Building AB, located at 100 NE Adams Street, Peoria, Illinois, in the Central District of Illinois, which is a large office building occupied exclusively by Caterpillar, Inc. Photographs of the premises are included below:





ATTACHMENT D

ITEMS TO BE SEIZED

Any items evidencing violations of Title 13, United States Code, Section 305(a)(1) (failure to file or submitting false electronic export information) and Title 15, United States Code, Sections 78m and 78ff (false and misleading financial reports and statements), including, but not limited to the following:

- a. Any and all documents regarding the export of any products from the United States or from any United States company, or involving any United States person to any other country or the shipment or transshipment of any products from one country to another;
- b. Any and all documents regarding the movement of any products between the United States and Switzerland and/or CSARL or any other foreign country;
- c. Any and all documents regarding Caterpillar Inc.'s sales outside of the United States, including but not limited to, orders, purchases, customers, and business practices;
- e. Any and all documents regarding the relationship between Caterpillar, Inc. and CSARL and/or any other non-U.S. based entities;
- f. Any and all information pertaining to the end use and end users for orders and potential orders of exported items of United States origin, the shipment or transshipment of goods to Switzerland and/or CSARL, export controls in the United States and other countries, use of aliases, and efforts to thwart or avoid law enforcement scrutiny;
- g. Any and all communications with financial institutions, shipping companies, or freight forwarders relating to shipments of goods from the United States to Switzerland and/or CSARL;
- h. Any and all financial records involving sales, order purchases, customers, business transactions involving exports or shipments to Switzerland and/or CSARL;
- i. Any and all documents or items containing names, addresses, or other contact information of individuals who may have been contacted by individuals located at the premises subject to search concerning export offenses;

j. With respect to any computer equipment or other electronic devices:

1. Passwords, encryption keys, and other access devices that may be necessary to access the computer equipment;
2. Items demonstrating the presence or absence of computer software that would allow others to control the items, and presence or absence of security software designed to detect such malicious software;
3. Items demonstrating the attachment of other computer hardware or storage media;
4. Counter forensic programs and associated data that are designed to eliminate data.

k. The foregoing list of items to be seized, in subparagraphs a through j, includes all of the items of evidence in whatever form and by whatever means they may have been created or stored, that may contain evidence of or be used to facilitate violations of Title 13, United States Code, Section 305(a)(1) (failure to file or submitting false electronic export information) and Title 15, United States Code, Sections 78m and 78ff (false and misleading financial reports and statements), as detailed above, including any hand-made form, any photographic form or any electrical, electronic, digital or magnetic form, such as any information on an electronic, digital or magnetic storage device like a floppy diskette, hard disk, backup media, CD-ROM, thumb drive, optical disc, electronic dialer, electronic notebook, as well as printout or readouts from any digital or magnetic storage device, computer hardware, including data-processing devices (such as central processing units, desktop computers, self-contained "laptop" or "notebook" computers, and Personal Digital Assistants – PDAs); internal and peripheral storage devices (such as fixed disks, floppy disks, external hard disks, floppy disk drives and diskettes, tape drives and optical storage devices, thumb-drives, and other memory storage devices); peripheral input/output devices (such as keyboards, printers, scanners, plotters, video display monitors, and optical readers); and related communications devices (such as modems, routers, cables and connections, recording equipment, speed dialers, programmable telephone dialing or signaling devices, and electronic tone-generating devices); as well as any devices, mechanisms, or parts, that can be used to restrict access to computer hardware (such as physical lock and keys), computer software, including programs to run operating systems, applications, utilities, compilers, interpreters, video, web browsers, and communications programs, all computer-related documentation including written, recorded, printed, or electronically-stored material which explains or illustrates how to configure or use computer hardware, software, or other related items, and all computer passwords and data security devices, including encryption devices, chips and circuit boards. All seized items containing digital evidence shall be imaged onsite or at a computer forensics laboratory to be forensically examined by forensic experts.

UNITED STATES DISTRICT COURT

for the
Central District of Illinois

In the Matter of the Search of)
(Briefly describe the property to be searched)
or identify the person by name and address))
The business premises of Caterpillar, Inc. located at 500)
N. Morton Ave., Morton, Illinois, as more particularly)
described on Attachment B)

Case No. 17-MJ- 7038

SEARCH AND SEIZURE WARRANT

To: Any authorized law enforcement officer

An application by a federal law enforcement officer or an attorney for the government requests the search of the following person or property located in the Central District of Illinois
(identify the person or describe the property to be searched and give its location):

The business premises of Caterpillar, Inc., located at 500 North Morton Avenue, Morton, Illinois, as more particularly described on Attachment B, which is attached hereto and specifically made a part hereof by reference.

I find that the affidavit(s), or any recorded testimony, establish probable cause to search and seize the person or property described above, and that such search will reveal (identify the person or describe the property to be seized):

See Attachment D, which is attached hereto and specifically made a part hereof by reference.


YOU ARE COMMANDED to execute this warrant on or before March 9, 2017 (not to exceed 14 days)
 in the daytime 6:00 a.m. to 10:00 p.m. at any time in the day or night because good cause has been established.

Unless delayed notice is authorized below, you must give a copy of the warrant and a receipt for the property taken to the person from whom, or from whose premises, the property was taken, or leave the copy and receipt at the place where the property was taken.

The officer executing this warrant, or an officer present during the execution of the warrant, must prepare an inventory as required by law and promptly return this warrant and inventory to me or any judicial officer of this district
(United States Magistrate Judge)

Pursuant to 18 U.S.C. § 3103a(b), I find that immediate notification may have an adverse result listed in 18 U.S.C. § 2705 (except for delay of trial), and authorize the officer executing this warrant to delay notice to the person who, or whose property, will be searched or seized (check the appropriate box)

for days (not to exceed 30) until, the facts justifying, the later specific date of

Date and time issued: 2.24.17 11:10 a.m. 
Judge's signature

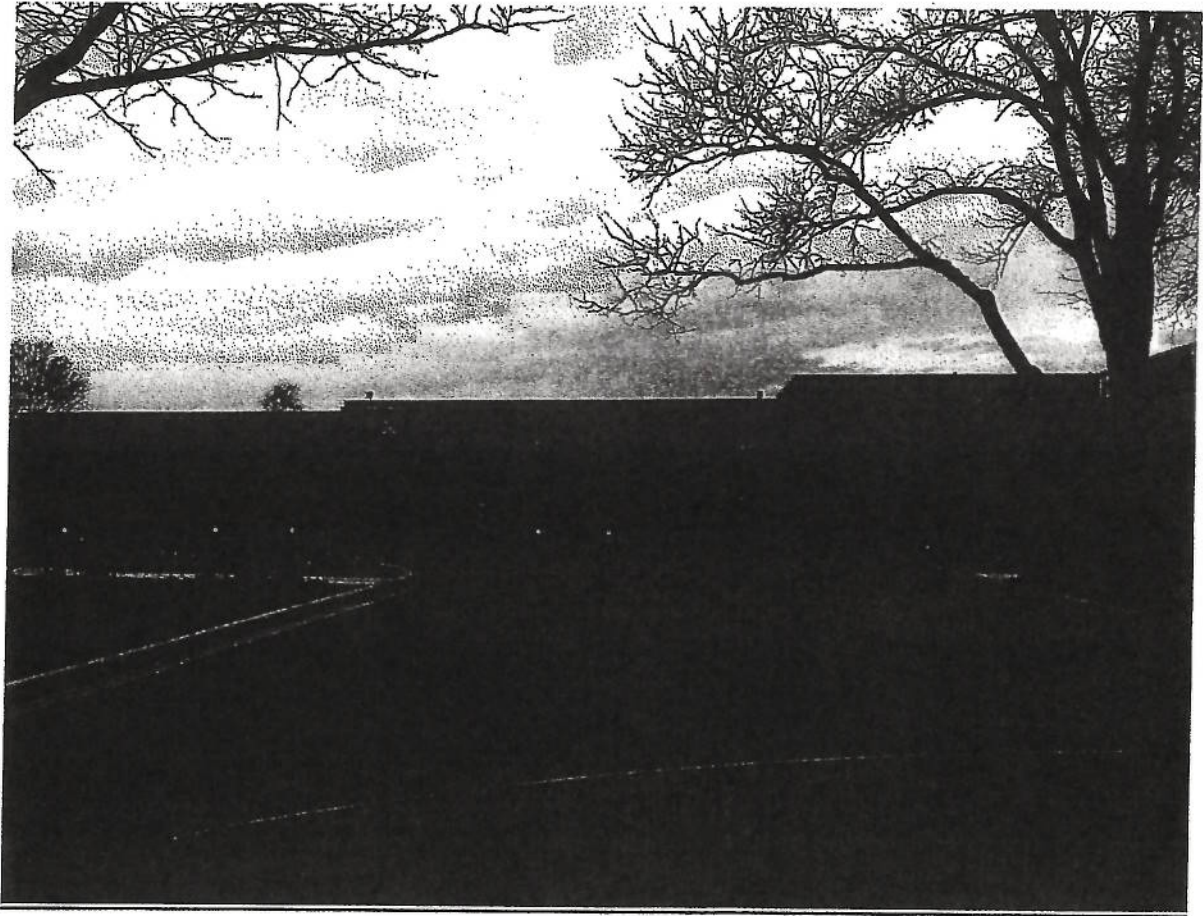
City and state: Urbana, Illinois Harold A. Baker, United States District Judge
Printed name and title

ATTACHMENT B

PROPERTY TO BE SEARCHED

The business premises of Caterpillar, Inc. located at 500 North Morton Avenue, Morton, Illinois, in the Central District of Illinois, which is a brick office building occupied exclusively by Caterpillar, Inc. Photographs of the premises are included below:





ATTACHMENT D

ITEMS TO BE SEIZED

Any items evidencing violations of Title 13, United States Code, Section 305(a)(1) (failure to file or submitting false electronic export information) and Title 15, United States Code, Sections 78m and 78ff (false and misleading financial reports and statements), including, but not limited to the following:

- a. Any and all documents regarding the export of any products from the United States or from any United States company, or involving any United States person to any other country or the shipment or transshipment of any products from one country to another;
- b. Any and all documents regarding the movement of any products between the United States and Switzerland and/or CSARL or any other foreign country;
- c. Any and all documents regarding Caterpillar Inc.'s sales outside of the United States, including but not limited to, orders, purchases, customers, and business practices;
- e. Any and all documents regarding the relationship between Caterpillar, Inc. and CSARL and/or any other non-U.S. based entities;
- f. Any and all information pertaining to the end use and end users for orders and potential orders of exported items of United States origin, the shipment or transshipment of goods to Switzerland and/or CSARL, export controls in the United States and other countries, use of aliases, and efforts to thwart or avoid law enforcement scrutiny;
- g. Any and all communications with financial institutions, shipping companies, or freight forwarders relating to shipments of goods from the United States to Switzerland and/or CSARL;
- h. Any and all financial records involving sales, order purchases, customers, business transactions involving exports or shipments to Switzerland and/or CSARL;
- i. Any and all documents or items containing names, addresses, or other contact information of individuals who may have been contacted by individuals located at the premises subject to search concerning export offenses;

- j. With respect to any computer equipment or other electronic devices:
1. Passwords, encryption keys, and other access devices that may be necessary to access the computer equipment;
 2. Items demonstrating the presence or absence of computer software that would allow others to control the items, and presence or absence of security software designed to detect such malicious software;
 3. Items demonstrating the attachment of other computer hardware or storage media;
 4. Counter forensic programs and associated data that are designed to eliminate data.

k. The foregoing list of items to be seized, in subparagraphs a through j, includes all of the items of evidence in whatever form and by whatever means they may have been created or stored, that may contain evidence of or be used to facilitate violations of Title 13, United States Code, Section 305(a)(1) (failure to file or submitting false electronic export information) and Title 15, United States Code, Sections 78m and 78ff (false and misleading financial reports and statements), as detailed above, including any hand-made form, any photographic form or any electrical, electronic, digital or magnetic form, such as any information on an electronic, digital or magnetic storage device like a floppy diskette, hard disk, backup media, CD-ROM, thumb drive, optical disc, electronic dialer, electronic notebook, as well as printout or readouts from any digital or magnetic storage device, computer hardware, including data-processing devices (such as central processing units, desktop computers, self-contained "laptop" or "notebook" computers, and Personal Digital Assistants -- PDAs); internal and peripheral storage devices (such as fixed disks, floppy disks, external hard disks, floppy disk drives and diskettes, tape drives and optical storage devices, thumb-drives, and other memory storage devices); peripheral input/output devices (such as keyboards, printers, scanners, plotters, video display monitors, and optical readers); and related communications devices (such as modems, routers, cables and connections, recording equipment, speed dialers, programmable telephone dialing or signaling devices, and electronic tone-generating devices); as well as any devices, mechanisms, or parts, that can be used to restrict access to computer hardware (such as physical lock and keys), computer software, including programs to run operating systems, applications, utilities, compilers, interpreters, video, web browsers, and communications programs, all computer-related documentation including written, recorded, printed, or electronically-stored material which explains or illustrates how to configure or use computer hardware, software, or other related items, and all computer passwords and data security devices, including encryption devices, chips and circuit boards. All seized items containing digital evidence shall be imaged onsite or at a computer forensics laboratory to be forensically examined by forensic experts.

UNITED STATES DISTRICT COURT

for the
Central District of Illinois

In the Matter of the Search of
(Briefly describe the property to be searched
or identify the person by name and address)
The business premises of Caterpillar, Inc. located at 812
W. Washington St., East Peoria, Illinois, as more
particularly described on Attachment C

Case No. 17-MJ- 7040

SEARCH AND SEIZURE WARRANT

To: Any authorized law enforcement officer

An application by a federal law enforcement officer or an attorney for the government requests the search
of the following person or property located in the Central District of Illinois
(identify the person or describe the property to be searched and give its location):

The business premises of Caterpillar, Inc., located at 812 West Washington Street, East Peoria, Illinois, as more particularly
described on Attachment C, which is attached hereto and specifically made a part hereof by reference.

I find that the affidavit(s), or any recorded testimony, establish probable cause to search and seize the person or property
described above, and that such search will reveal (identify the person or describe the property to be seized):

See Attachment D, which is attached hereto and specifically made a part hereof by reference.

YOU ARE COMMANDED to execute this warrant on or before March 9, 2017 (not to exceed 14 days)
in the daytime 6:00 a.m. to 10:00 p.m. at any time in the day or night because good cause has been established.

Unless delayed notice is authorized below, you must give a copy of the warrant and a receipt for the property taken to the
person from whom, or from whose premises, the property was taken, or leave the copy and receipt at the place where the
property was taken.

The officer executing this warrant, or an officer present during the execution of the warrant, must prepare an inventory
as required by law and promptly return this warrant and inventory to me or any judicial officer of this district
(United States Magistrate Judge)

Pursuant to 18 U.S.C. § 3103a(b), I find that immediate notification may have an adverse result listed in 18 U.S.C.
§ 2705 (except for delay of trial), and authorize the officer executing this warrant to delay notice to the person who, or whose
property, will be searched or seized (check the appropriate box)

for days (not to exceed 30) until, the facts justifying, the later specific date of

Date and time issued: 2.24.17 11:00 a.m.

Handwritten signature of Harold A. Baker

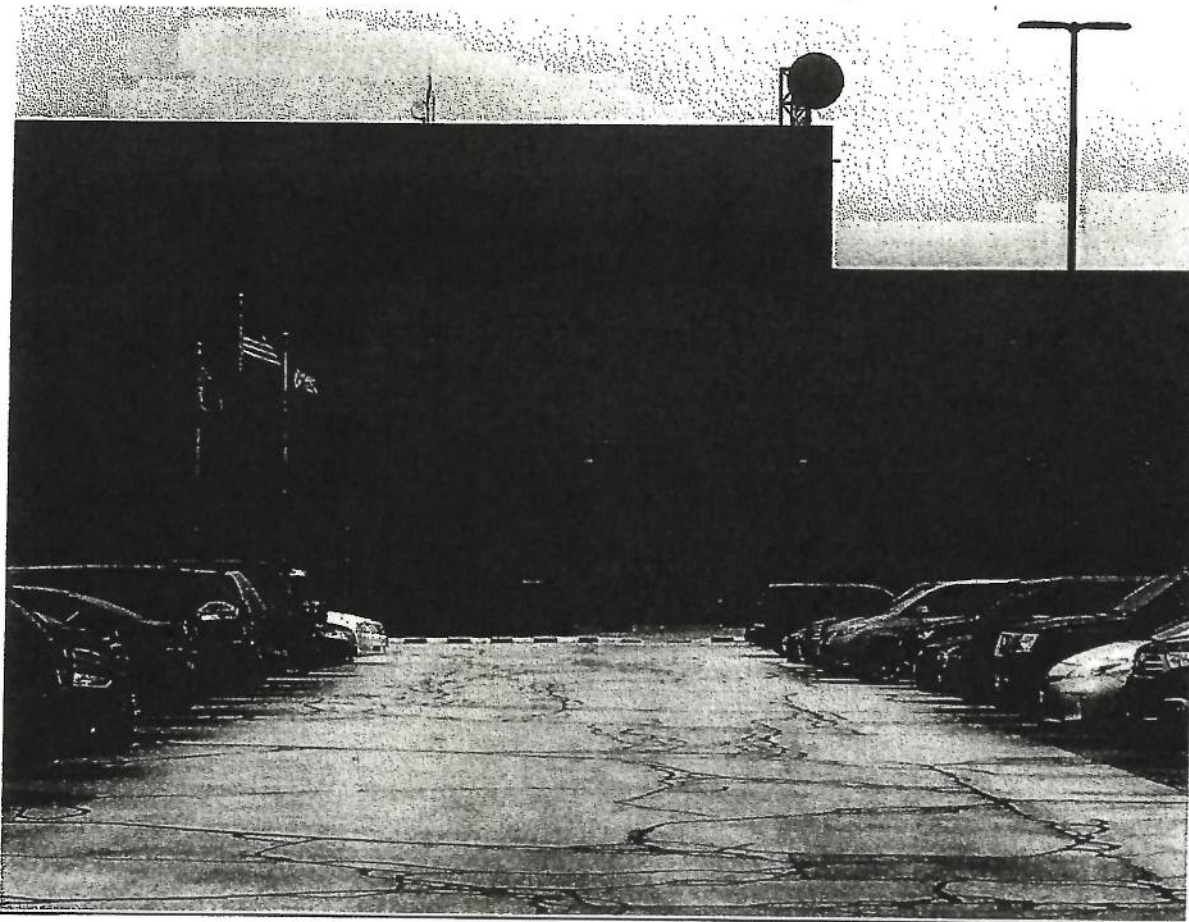
City and state: Urbana, Illinois

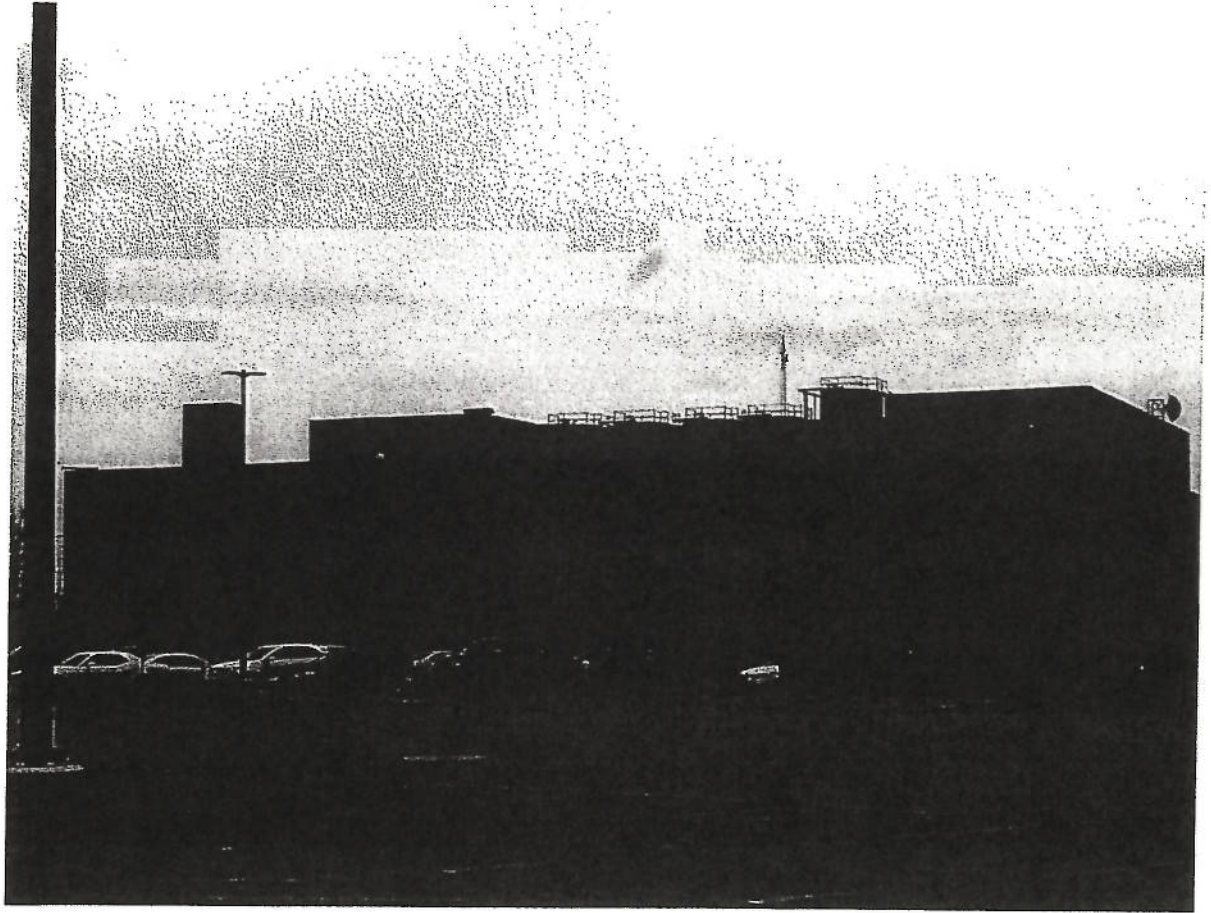
Harold A. Baker, United States District Judge
Printed name and title

ATTACHMENT C

PROPERTY TO BE SEARCHED

The primary global data center of Caterpillar, Inc., commonly known as Caterpillar Building AD, located at 812 West Washington Street, East Peoria, Illinois, in the Central District of Illinois, which is a brick office building occupied exclusively by Caterpillar, Inc. Photographs of the premises are included below:





ATTACHMENT D

ITEMS TO BE SEIZED

Any items evidencing violations of Title 13, United States Code, Section 305(a)(1) (failure to file or submitting false electronic export information) and Title 15, United States Code, Sections 78m and 78ff (false and misleading financial reports and statements), including, but not limited to the following:

- a. Any and all documents regarding the export of any products from the United States or from any United States company, or involving any United States person to any other country or the shipment or transshipment of any products from one country to another;
- b. Any and all documents regarding the movement of any products between the United States and Switzerland and/or CSARL or any other foreign country;
- c. Any and all documents regarding Caterpillar Inc.'s sales outside of the United States, including but not limited to, orders, purchases, customers, and business practices;
- e. Any and all documents regarding the relationship between Caterpillar, Inc. and CSARL and/or any other non-U.S. based entities;
- f. Any and all information pertaining to the end use and end users for orders and potential orders of exported items of United States origin, the shipment or transshipment of goods to Switzerland and/or CSARL, export controls in the United States and other countries, use of aliases, and efforts to thwart or avoid law enforcement scrutiny;
- g. Any and all communications with financial institutions, shipping companies, or freight forwarders relating to shipments of goods from the United States to Switzerland and/or CSARL;
- h. Any and all financial records involving sales, order purchases, customers, business transactions involving exports or shipments to Switzerland and/or CSARL;
- i. Any and all documents or items containing names, addresses, or other contact information of individuals who may have been contacted by individuals located at the premises subject to search concerning export offenses;

- j. With respect to any computer equipment or other electronic devices:
1. Passwords, encryption keys, and other access devices that may be necessary to access the computer equipment;
 2. Items demonstrating the presence or absence of computer software that would allow others to control the items, and presence or absence of security software designed to detect such malicious software;
 3. Items demonstrating the attachment of other computer hardware or storage media;
 4. Counter forensic programs and associated data that are designed to eliminate data.

k. The foregoing list of items to be seized, in subparagraphs a through j, includes all of the items of evidence in whatever form and by whatever means they may have been created or stored, that may contain evidence of or be used to facilitate violations of Title 13, United States Code, Section 305(a)(1) (failure to file or submitting false electronic export information) and Title 15, United States Code, Sections 78m and 78ff (false and misleading financial reports and statements), as detailed above, including any hand-made form, any photographic form or any electrical, electronic, digital or magnetic form, such as any information on an electronic, digital or magnetic storage device like a floppy diskette, hard disk, backup media, CD-ROM, thumb drive, optical disc, electronic dialer, electronic notebook, as well as printout or readouts from any digital or magnetic storage device, computer hardware, including data-processing devices (such as central processing units, desktop computers, self-contained "laptop" or "notebook" computers, and Personal Digital Assistants - PDAs); internal and peripheral storage devices (such as fixed disks, floppy disks, external hard disks, floppy disk drives and diskettes, tape drives and optical storage devices, thumb-drives, and other memory storage devices); peripheral input/output devices (such as keyboards, printers, scanners, plotters, video display monitors, and optical readers); and related communications devices (such as modems, routers, cables and connections, recording equipment, speed dialers, programmable telephone dialing or signaling devices, and electronic tone-generating devices); as well as any devices, mechanisms, or parts, that can be used to restrict access to computer hardware (such as physical lock and keys), computer software, including programs to run operating systems, applications, utilities, compilers, interpreters, video, web browsers, and communications programs, all computer-related documentation including written, recorded, printed, or electronically-stored material which explains or illustrates how to configure or use computer hardware, software, or other related items, and all computer passwords and data security devices, including encryption devices, chips and circuit boards. All seized items containing digital evidence shall be imaged onsite or at a computer forensics laboratory to be forensically examined by forensic experts.