

2023 Overhaul Protection Coverage & Discount Program



The Platinum Level is the most complete rebuild option; designed to maximize the built-in second and third life of your Engine!

\$1,000.00 OFF

Requires a minimum of either:

Heavy Duty Long Block + turbo

or

Cat Reman complete engine.

In-Frame Overhaul (OPT) is not required for discount
to
be applied to overhauled engine.

Applies to all Heavy Duty on-highway truck engines

Mid-Range Excluded

**CLAIM MUST BE SUBMITTED WITHIN 30 DAYS FROM THE END OF THAT MONTH TO
BE ELIGIBLE FOR DISCOUNTS!**



Cat® Extended Service Coverage (ESC)

4 EASY STEPS TO EXTEND COVERAGE ON YOUR ON-HIGHWAY TRUCK ENGINE OVERHAUL

Your operation depends on reliable power. That's why you trust Cat® On-Highway Truck Engines. With Extended Service Coverage (ESC), you get additional coverage that's just as durable and long-lasting.

Overhaul Protection for Truck (OPT) engines protects your investment and your peace of mind.

Choosing coverage is as easy as following these four steps.

1 CHOOSE FROM A VARIETY OF COVERAGE OPTIONS

First, extend your protection beyond the original factory warranty by choosing the coverage option that's right for your situation.

COMPONENT PLUS	Coverage for a number of on-highway engine or related components is available in 24-, 36- or 48-month terms from date of purchase.
PRECIOUS METALS KIT COVERAGE	Coverage for precious metals kits is available for medium- and heavy-duty applications in 24-, 36- and 48-month terms. Program availability is based on engine model or related component kit availability.
ADVANTAGE AND ACERTIFYSM ESC	Coverage is available after the end of the original factory warranty in 24- or 36-month terms. Your used on-highway engine is eligible once it passes a qualifying inspection performed by an authorized Cat dealer in accordance with the Advantage or ACERTIFY Certification Inspection Worksheet. Eligibility and coverage limitations apply based on engine model.
OVERHAUL PROTECTION FOR TRUCKS (OPT)	Coverage is available for on-highway engines in 18-, 24-, 36-, or 48-month terms. Your on-highway engine is eligible once a qualifying overhaul has been completed by an authorized Cat dealer in accordance with the Overhaul Certification Worksheet.

All programs may not be available in all areas. Please check with your local authorized Cat dealers for details.

2 IDENTIFY YOUR COVERAGE NEEDS

Next, choose the ESC coverage term to fit your needs. Depending on your location, certain mileage/kilometers limits may apply. Terms vary depending on location and model.

BUILT FOR IT.™

* ACERTIFY is the brand name of Advantage for ACERT™ engines



3 SELECT YOUR COVERED COMPONENTS

OPT provides coverage on Cat engine components that either pass inspection or are replaced at the time of the overhaul as indicated below. OPT covers the parts and the labor costs for covered component repairs due to defects in materials, factory and dealer workmanship.

The following covered components are required to be replaced during an overhaul:

- > Exhaust Manifold Studs
- > Exhaust Manifold Gaskets / Sleeves
- > Cylinder Head Casting
- > Cylinder Head Gasket
- > Cylinder Head Injector Sleeves and Injector Sleeve Seal O-Rings
- > Spacer Plate Gasket
- > Intake / Exhaust Valves (includes, spring, insert, guide, rotocoil & retainer)
- > Valve Cover Gasket
- > Thermostat
- > O-Rings Between Spacer Block and Cylinder Head (3176)
- > Bearings (crankshaft, rod, main & thrust)
- > Connecting Rod Assembly and Bushing
- > Piston Assembly (includes wrist pin, retainer clips & rings)
- > Cylinder Liner, Seals, Filler Band
- > Mechanical Fuel Nozzles
- > Mechanical Fuel Nozzles Seals and Fasteners

The following components are covered if they pass inspection or are repaired / replaced during the overhaul (except for applicable exclusions as noted in the service contract):

- > Exhaust Manifold / Intake Manifold
- > Pre-Cooler (turbocharger) *
- > Coolant Diverter Valve or Assembly
- > Cylinder Head Bolts
- > Freeze Plug
- > Spacer Plate (block and head)
- > Valve Mechanism (includes rocker arm, brackets, bridges, dowels, adjusting screws, nuts, shaft & push tubes)
- > Valve Cover & Base
- > Camshaft
- > Camshaft Lifter Assembly (followers) Clips
- > Oil Pan
- > Oil Pump
- > Oil Cooler Housing
- > Piston Cooling Spray Jets
- > Thermostat Housing
- > Water Pump Housing
- > Engine Oil Rail (EOR) Valve
- > Front Housing / Covers / Plate
- > Flywheel Housing
- > Vibration Damper
- > Cylinder Block Casting
- > Spacer Deck (3176 only)
- > Freeze Plug
- > Crankshaft Casting
- > Cylinder Block Counterbore
- > Main Bearing Cap Bolt

The following components must either be confirmed as the latest design by the dealer or replaced at the time of the inspection:

- > Pre-Cooler Mounting Bracket / Support (turbocharger)
- > Variable Valve Actuator (VVAs) Mounting Studs

The following components are covered if replaced as optional components during the overhaul, except for applicable exclusions as noted in the service contract. Seals and gaskets are only covered if replaced at the time of the overhaul in conjunction with a new or REMAN Cat turbo(s), water pump, injector(s), and/or air compressor.

- > Turbocharger(s) / Turbocharger Seals and Gaskets
- > Variable Valve Actuator (VVA) Assembly *
- > Water Pump, Seals and Gaskets
- > Air Compressor
- > Front Cover Gasket
- > Unit Injectors

All covered components must pass inspection or be replaced at the proper intervals as prescribed by the Operation and Maintenance Manual by an authorized dealer to qualify for continued coverage under this Service Contract. Failure to follow the Operation and Maintenance Manual will result in denial of coverage.

*Coverage applies only if the Pre-cooler mounting brackets and Variable Valve Actuator (VVAs) mounting studs are of the latest design at the time of the overhaul.

U.S. and Canada only: If towing coverage is selected, the service contract provides reasonable or customary towing to the nearest repairer for a mechanical breakdown or reasonable travel expenses from the nearest repairer for a mechanical breakdown due to a defect in material or factory workmanship.

NOTE: Injectors must be replaced as a set.

If the engine has more than one turbocharger, both must be replaced.

If the camshaft is replaced, any lifter / rollers / followers in direct contact with the camshaft must also be replaced.

If the component is replaced, all parts of the component must be replaced.

4 PURCHASE AND REGISTER YOUR ESC

Finally, work with your local authorized Cat dealer to complete the process—and get the protection and peace of mind you deserve.

This marketing tool does not represent a contract or obligation of any kind between Cat Financial Insurance Services, its parent or affiliates, and the equipment owner. For details on any dealer agreement, including a complete description of the terms, conditions, and/or exclusions, contact your local Cat dealer. All graphics and lists in this marketing tool are provided solely for general information purposes and are not intended to be a solicitation or an offer to sell any product or service.

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OVERHAUL PROTECTION ON-HIGHWAY VEHICLE ENGINES

Overhaul Protection For Cat® On-Highway Vehicle Engines
Registration Certificate For Overhauls Performed Worldwide (Excludes Colombia and Venezuela)
Effective Date: January 1, 2019

CUSTOMER NAME: _____ PHONE: _____
ADDRESS: _____ CITY: _____
STATE / PROVINCE: _____ POSTAL CODE: _____ COUNTRY: _____

CAT® DEALER: _____ DEALER CODE: _____
ADDRESS: _____ CITY: _____
STATE / PROVINCE: _____ POSTAL CODE: _____ COUNTRY: _____

TEPS DEALER: _____ DEALER CODE: _____
ADDRESS: _____ CITY: _____
STATE / PROVINCE: _____ POSTAL CODE: _____ COUNTRY: _____

PROVIDER: See Section XIV.

REGISTRATION DETAIL

- New Registration
- Delayed Coverage Start
- Transfer of Ownership
- Replacement Engine
- Upgrade of Coverage

Engine Serial No.: _____ Engine Sales Model: _____ Horsepower: _____
 ECM Serial No.: _____ Engine Overhaul/OPT Start Date: _____
 Start ECM Mi/Kms: _____ Start Odometer Mi/Kms: _____
 Replacement Date: _____ ECM Mi/Kms: _____ Odometer Mi/Kms: _____
 Transfer Date: _____ ECM Mi/Kms: _____ Odometer Mi/Kms: _____
 Veh. OEM: _____ Veh. Model: _____ VIN: _____

COVERAGE OPTIONS AND TERMS

Heavy Duty Coverage	Months	Miles/Kms	Price	Medium Duty Coverage	Months	Miles/Kms	Price
OPT				OPT			
Towing (U.S.A. & Canada Only)				Towing (U.S.A. & Canada Only)			

IMPORTANT: Overhaul Worksheet must be completed prior to enrollment and attached to this Registration Certificate!!

Deductible (Per Visit) : U.S.A. \$ _____ \$0

EXTENDED COVERAGE FEES

IMPORTANT!!

This contract provides only those coverages with a months and miles/kms term indicated above. Coverage options listed above may not be available for all engine models and applications. **Dealer - Refer to published price lists for currently available coverage options and applications.**

Coverage Fee (from above): U.S.D. \$ _____
 Late Fee: U.S.D. \$ _____
 Tax: U.S.D. \$ _____
Total Coverage Fee: U.S.D. \$ _____

Limit of Liability:

The maximum amount we will pay for any single claim will be the reasonable cost to repair or replace the covered vehicle engine, not to exceed Caterpillar's list price for equivalent replacement engine.

I hereby certify that I have read and understand the terms and conditions checked above and as specified within the additional number of pages indicated on the bottom of this Registration Certificate.

I hereby certify that the engine serial number indicated above is eligible for the extended coverage as specified on this Registration Certificate and have read and understand the dealer's responsibilities as specified in the ESC Administration Manual.

Customer Signature _____

Date _____

Authorized Dealer Representative _____

Date _____

I. INTRODUCTION

This Extended Service Coverage, herein referred to as Service Contract, is designed specifically for Cat On-Highway vehicle engines and is an important part of Caterpillar's continuing effort to provide "you" with superior value and product support.

II. TERMS AND CONDITIONS

This Service Contract provides parts and labor coverage less any applicable deductible for the "cost" of a "mechanical breakdown" under normal use during the "coverage period" due to a defect in material, factory workmanship or "authorized dealer workmanship". Coverage under this Service Contract is subject to the applicable exclusions listed under Section VIII. Exclusions and Limitations.

The Registration Certificate must be completed in its entirety at the date of registration. "You" should purchase this Service Contract on the "covered engine's" overhaul date or original purchase date from an "authorized dealer". Certain fees, penalties and coverage availability may apply for any Service Contract requested after the original purchase date. "You" must contact an "authorized dealer" for complete details.

Coverage under this Service Contract starts at the earliest of:

1. The date as shown on the registration certificate,
2. The date of the overhaul for engines without delayed coverage start,
3. The transfer of coverage from "authorized dealer" to "you",
4. Or 12 months from the original date of the overhaul for engines awaiting resale or for engines placed in inventory.

III. DEFINITIONS

"Authorized dealer" means a dealer authorized by the manufacturer to sell, service and repair the "covered engine".

"Authorized dealer workmanship" means labor performed for the installation or inspection of required and optional replacement "covered components" during the overhaul.

"Cat dealer" means a dealer under a direct sales and service agreement with Caterpillar Inc.

"TEPS dealer" is any OEM-affiliated or independent distributor of on-highway vehicles (or parts) appointed as a non-exclusive second level distributor of genuine Cat parts.

"Cost(s)" means the usual and fair charges as determined by the manufacturer for parts and labor necessary to repair or replace the parts covered as specified in the Service Coverage Matrix. Replacement parts will be genuine manufacturer's parts when performing repairs and may include new, remanufactured or repaired components.

"CL/TX" means a Caterpillar sourced New Eaton Easy Pedal Advantage or Eaton Solo Advantage series Clutch and Caterpillar Sourced Eaton Reman Transmission as listed in this contract.

"Coverage period" means the period that commences with the start date as shown on the Registration Certificate and expires when time, miles / kilometers or service meter hours, whichever occurs first, from the start date of the "covered engine" exceeds the coverage limits as specified on the Registration Certificate.

"Covered component" means the components listed and identified for the appropriate level of coverage on the Service Coverage Matrix form (attached to and made a part of this Service Contract).

"Covered engine" means the engine identified for this coverage as shown on the Registration Certificate and accepted by "us" for coverage.

"Mechanical breakdown" means the failure of any original or like replacement "covered component" to work as it was designed to work in normal service, provided it has received customary maintenance as recommended in the manufacturer's Operation and Maintenance Manual.

"Repairer(s)" means a business entity "we" have authorized as a repair facility or "authorized dealer," except a "Cat dealer" and not a "TEPS dealer" must serve as the "repairer" or "authorized dealer" to perform service on "CL/TX" under this Service Contract."

"Warranty" means any warranty of the manufacturer or a "repairer's" guarantee or warranty.

"We," "us," and "our" mean the provider issuing this Service Contract.

"You" and "your" mean the customer shown on the Registration Certificate.

IV. OUR RESPONSIBILITIES

"We" will pay the "cost", less any applicable deductible, to repair, replace or service the "covered engine" for a "mechanical breakdown" of a "covered component". This work will be during normal working hours at a "repairer's" place of business. "We" will provide, at "our" choice, new, remanufactured or repaired components when replacing or repairing any "covered components". Further, "we" will also pay the components and labor charges for any Cat component that is rendered unserviceable by a "covered component" failure.

"We" will restore the "covered engine" to its operating condition prior to the "mechanical breakdown" by repairing and / or replacing only the required "covered components" and consequentially damaged Cat components necessary to facilitate the repair. Other parts or components removed in the process of the repair will be reinstalled as is, unless "you" authorize "your" additional expense to repair or replace.

"We" will also pay the reasonable "costs" of any expendables or consumables that are made unusable as a result of a "covered component" failure.

V. YOUR RESPONSIBILITIES

"You" shall operate, maintain and perform all recommended maintenance for the "covered engine" according to the guidelines and recommendations as specified in the manufacturer's Operation and Maintenance Manual and if specified on the Service Coverage Matrix.

"You" shall utilize an "authorized dealer" for all scheduled oil sampling (S.O.S.) as specified in the manufacturer's Operation and Maintenance Manual by submitting samples promptly with necessary sample information at the specified service intervals.

"You" shall be responsible for all "costs" not covered by this Service Contract.

VI. COVERAGE TERRITORY

This Service Contract is available for issuance worldwide (excludes Colombia and Venezuela) except when coverage provided by this Service Contract would be in violation of any U.S. A. economic or trade sanctions such as, but not limited to, sanctions administered and enforced by the U.S.A. Treasury Department's Office of Foreign Assets Control ("OFAC"), such coverage shall be null and void. Similarly, any coverage relating to or referred to in any certificates or other evidence of coverage or any claim that would be in violation of U.S.A. economic or trade sanctions as described above shall be null and void.

VIIA. CLAIM PROCEDURES FOR "COVERED ENGINE" ONLY

In the event of a "mechanical breakdown" of the "covered engine", "you" shall:

1. Take all reasonable steps to protect and safeguard the "covered engine".
2. Report the "mechanical breakdown" promptly to "us" or a "repairer".
3. Promptly make the "covered engine" available to a "repairer" for repair and examination and provide proof of this Service Contract registration by presenting the customer copy of the Registration Certificate.
4. Furnish "us" or a "repairer" with such information as may be reasonably required to assess the "mechanical breakdown".
5. Provide proof of compliance with the maintenance schedules as recommended in the manufacturer's Operation and Maintenance Manual, such as receipts or copies of work orders or invoices from "repairers" or "authorized dealers" showing the maintenance and services performed. Failure to show proof may result in denial of coverage.
6. If "we" pay for the "costs" of a "mechanical breakdown", "we" will be subrogated to "your" right to recover damages from another party. "We" will not pay for such "costs" if "you" impair these rights to recover. "Your" rights to recover from another party may not be waived.

VIIIB. "CLAIM PROCEDURES for "CL/TX" WITH OR WITHOUT "COVERED ENGINE"

In the event of a "mechanical breakdown" of the "CL/TX", with or without additional service to the "covered engine", you shall:

1. Take all reasonable steps to protect and safeguard the "CL/TX" and "covered engine"
2. Report the "mechanical breakdown" promptly to "us" or a "Cat dealer"
3. Promptly make the "CL/TX" available to a "Cat dealer" for repair and examination and provide proof of this "Service Contract" registration by presenting the customer copy of the Registration Certificate
4. Furnish "us" or a "Cat dealer" with such information as may be reasonably required to assess the "mechanical breakdown"
5. Provide proof of compliance with the maintenance schedules as recommended in the manufacturer's Operation and Maintenance Manual, such as receipts or copies of work orders or invoices from "repairer" or "authorized dealers" showing the maintenance and services performed. Failure to show proof may result in denial of coverage
6. If "we" pay for the "costs" of a "mechanical breakdown", "we" will be subrogated to "your" right to recover damages from another party. "We" will not pay for such "costs" if "you" impair these rights to recover. "Your" rights to recover from another party may not be waived."

VIII. EXCLUSIONS AND LIMITATIONS

This Service Contract does not cover a "mechanical breakdown" caused by:

- Acts of God, war, vandalism, riot, theft, explosion, and any other act of nature or man.
- Operator abuse, misuse, neglect, accident, improper operation, lack of customary maintenance, failure to follow maintenance procedures and scheduled component inspections / replacements as specified in the manufacturer's Operation and Maintenance Manual; repairs, alterations, or modifications made subsequent to the purchase by "you" of this "covered engine" that either affects the mechanical operation as designed by the "covered engine" manufacturer or is not done by a "repairer".
- "Repairer" workmanship on subsequent repairs to the initial overhaul of the engine.
- Any application or installation not approved by the manufacturer.
- Wear and tear, depletion, deterioration, corrosion and erosion.
- Steel shims and cast iron block inserts.
- A non-"covered component" failure.

This Service Contract also does not pay for:

- Any part or component from another manufacturer.
- Bolts, clamps and other fasteners except as specified on the Extended Service Coverage Matrix.
- Normal preventive maintenance (including consumables) and scheduled component inspection/replacements as defined in the manufacturer's Operation and Maintenance Manual.
- Performance complaints, including but not limited to, any adjustments to fuel settings, PAR tests, or programming of the electronic control module.
- Any and all "mechanical breakdowns" or failures that are covered under any "warranty" whether enforceable or not.
- Reimbursement for any travel or towing (unless purchased as a covered option and indicated on the Registration page of the contract), or overnight lodging or meals or communications expenses and any other downtime or downtime related expenses, cargo damage or economic loss that "you" may incur.
- Any and all taxes except sales tax on parts repairs if applicable.
- Parts shipping charges and service charges.

IX. TRANSFER OR ASSIGNMENT OF COVERAGE

The remaining portion of this Service Contract may be transferred or assigned to subsequent owners other than an "authorized dealer" during the "coverage period" at no extra charge provided the new owner of the "covered engine" presents a copy of the current Registration Certificate to "us" within ten (10) days of the transfer of title of the vehicle in which the "covered engine" is installed and "we" approve the transfer or assignment of coverage.

X. TERMINATIONS AND REFUNDS

Cancellation by You. "You" may cancel this Service Contract by providing written notice to "us" of "your" intent to cancel. Cancellation will be effective on the date "we" receive the cancellation notice.

Refund and Administration Fee. If "you" cancel this Service Contract by returning it to "us" within ten(10) days of issue, "your" refund shall be the Coverage Fees less any claims paid and a \$35.00 administration fee plus a ten percent (10%) penalty shall be added to the refund if not paid within thirty (30) days from the time this Service Contract was returned to "us". If you cancel this Service Contract by returning it to "us" after ten(10) days from issue, the pro-rated refund will be based on the lesser of months, miles / kilometers or hours of unused coverage provided less any claims paid and a \$35.00 administration fee. No refund is available if coverage is transferred or assigned to a subsequent owner.

Cancellation by Us. "We" may cancel this Service Contract and return to "you" the pro-rated refund based on the lesser of months, miles / kilometers or hours of unused coverage provided less any claims paid and a \$35.00 administration fee for the following reasons: the coverage fee for this Service Contract has not been paid by "you", the manufacturer's warranty has been canceled or voided, or a substantial breach of duties by "you" relating to the "covered engine" or its use. If there is a material misrepresentation in the Service Contract registration, "we" may void this Service Contract without written notice and "you" will not be charged the Coverage Fee.

XI. DISCLAIMERS

"OUR" RESPONSIBILITIES AND "YOUR" REMEDIES UNDER THIS Service Contract ARE LIMITED TO THE PROVISION OF MATERIALS AND LABOR AS SPECIFIED HEREIN.

"WE" DISCLAIM ANY EXPRESSED OR IMPLIED WARRANTIES IN CONNECTION HERewith INCLUDING ANY WARRANTY OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE.

"WE" ARE NOT RESPONSIBLE FOR INCIDENTAL OR CONSEQUENTIAL DAMAGES.

REPLACEMENT PARTS FURNISHED UNDER THE TERMS OF THIS Service Contract ARE COVERED UNDER THE APPLICABLE REPLACEMENT PARTS WARRANTY.

THIS Service Contract DOES NOT SUPERCEDE THE EMISSION WARRANTY FOR EMISSION RELATED COMPONENTS.

MISREPRESENTATION OF THE COVERED ENGINE'S ELIGIBILITY FOR COVERAGE, OR THE ACTUAL ACCUMULATED MILEAGE, HOURS, OR AGE SHALL RESULT IN CANCELLATION OF THIS SERVICE CONTRACT BY "US". "WE" SHALL BE ENTITLED TO ALL OTHER REMEDIES.

XII. NOTICE

Obligations of the provider under this contract are backed only by the full faith and credit of the provider (issuer) and are not guaranteed under a service contract reimbursement insurance policy.

XIII. CUSTOMER ASSISTANCE FOR ENGINE OPERATION OR FOR ENGINE WORK FOR U.S.A. AND CANADA

For the U.S.A. and Canada, when a problem arises concerning the operation of an engine or concerning the service of an engine, the problem will normally be managed by the Cat dealer in "your" area. "Your" satisfaction is a primary concern to Caterpillar and Cat dealers.

If "you" have a problem that has not been handled to "your" complete satisfaction, follow these steps:

1. Discuss your problem with a manager from the dealership.
2. If your problem cannot be resolved at the Cat dealer level without additional assistance, use the phone number that is listed here to talk to a Field Service Coordinator: 1-800-447-4986.

The normal hours are from 8:00 AM to 4:30 PM Monday through Friday Central Standard Time. Please keep in mind the ultimate goal is to solve your problem at the dealership. Therefore, please follow the steps in sequence when a problem is experienced.

FOR OUTSIDE U.S.A. and CANADA

If a problem arises concerning the operation of your engine or the service of your engine please contact your nearest Cat dealer or Service Representative.

XIII. ENDORSEMENTS, APPLICABLE TO U.S.A. ISSUED CONTRACTS ONLY

In Georgia: Paragraph X. Terminations and Refunds the subparagraphs Refund and Administration Fee and Cancellation by Us are replaced by the following:

- **Refund and Administration Fee.** If "you" cancel this Service Contract, the pro-rated refund will be based upon the lesser of months, miles / kms or hours of unused coverage provided.
- **Cancellation by Us.** We may only cancel this Service Contract for fraud, material misrepresentation or non-payment. If "we" cancel this Service Contract, "we" will give written notice of cancellation at least:
 - a) 10 days before the effective date of cancellation if we cancel for nonpayment of coverage fees; or,
 - b) 30 days before the effective date of cancellation if we cancel for any other reason.The pro-rated refund will be based upon the lesser of months, miles / kilometers or hours of unused coverage provided.

XIII. ENDORSEMENTS, APPLICABLE TO U.S.A. ISSUED CONTRACTS ONLY continued

In Hawaii: Paragraph X. **Terminations and Refunds**, the subparagraph **Cancellation by Us** is replaced by the following:

- **Cancellation by Us.** "We" may cancel this Service Contract and return to "you" the pro-rated refund based on the lesser of months, miles / kms or hours of unused coverage provided less any claims paid and a \$35.00 administration fee without notice for nonpayment or the Coverage Fee, material misrepresentation or substantial breach of "your" duties relating to "covered engine" and with five (5) days prior notice of cancellation that states the effective date of cancellation for any other reason.

In Hawaii and Wyoming: Paragraph X. **Terminations and Refunds**, the subparagraph **Refund and Administration Fee** is replaced by the following:

- **Refund and Administration Fee.** If no claims have been made under the Service Contract delivered at the time of sale and "you" cancel this Service Contract by returning it to "us" within twenty (20) days of purchase, "your" refund shall be the Coverage Fees, or between twenty (20) and thirty (30) days of purchase, "your" refund shall be the Coverage Fees less a \$25.00 administration fee plus a ten percent (10%) penalty shall be added to the refund if not paid within thirty (30) days from the time this Service Contract was returned to "us". If "you" cancel this Service Contract by returning it to "us" after thirty (30) days from purchase, the pro-rated refund will be based on the lesser of months, miles / kms or hours of unused coverage provided less any claims paid and a \$25.00 administration fee. No refund is available if coverage is transferred or assigned to a subsequent owner.

In Indiana: This service contract is not insurance and is not subject to Indiana insurance law.

In Wisconsin: paragraph X. **Termination and Refunds** the subparagraphs **Refund and Administration Fee** and **Cancellation by Us** are replaced by the following:

- **Cancellation by You.** If "you" cancel this Service Contract by returning it to "us" within twenty (20) days of the date the Service Contract was mailed to "you", or within ten (10) days of delivery if the Service Contract is delivered to "you" at the time of sale, if no claim has been made under the Service Contract prior to its return to "us", "your" refund shall be the Coverage Fees plus a ten (10%) percent penalty shall be added to the refund if not paid within forty-five (45) days from the time this Service Contract was returned to "us". If "you" cancel this Service Contract by returning it to "us" after the applicable time above, or if a claim has been submitted under this Service Contract, "We" shall refund to "you" a pro-rated return of one hundred (100%) percent of the unearned Coverage Fees based on the lesser of months, miles/km or hours of unused coverage, less claims paid, and less a \$35.00 administration fee not to exceed ten (10%) percent of the Coverage Fees.

- **Cancellation by Us.** "We" may cancel this Service Contract for nonpayment of the Coverage Fees, material misrepresentation by "you" to "us" or substantial breach of duties by "you" relating to the covered product or its use. "We" may cancel this Service Contract by mailing written notice to "you" stating the effective date of cancellation and the reasons for cancelling this Service Contract at least five (5) days prior to cancellation. If "We" cancel this Service Contract, "We" shall refund to "you" a pro-rated return of one hundred (100%) percent of the unearned Coverage Fees based on the lesser of months, miles/km or hours of unused coverage, less claims paid, and less a \$35.00 administration fee not to exceed ten (10%) percent of the Coverage Fees.

U.S.A only: "THIS WARRANTY IS SUBJECT TO LIMITED REGULATION BY THE OFFICE OF THE COMMISSIONER OF INSURANCE."

XIV. PROVIDER

In the United States: The Provider of this Service Contract is Caterpillar Inc.

Outside the U.S.A. and Alberta, Canada: The Provider of this Service Contract is the Cat dealer.

In Alberta, Canada: The Provider of this Service Contract is the Caterpillar of Canada.

XV. INTENTIONALLY LEFT BLANK

XVI. PRIVACY NOTICE

"We" do not disclose any non-public personal information about "you" or former customers to anyone, except as permitted by law.

"We" may collect non-public personal information necessary for service contract coverage to "you" from the following sources:

- Information that we receive from "you" on registrations, applications or other forms, such as "your" name, social security number, address, assets and income
- Information about "your" transactions with "us", our subsidiaries, our affiliates (received only with "your" express consent); and
- Information from a consumer reporting agency.

"We" restrict access to non-public personal information about "you" to those employees who need to know that information to provide extended coverage services to "you". "We" maintain physical, electronic, and procedural safeguards that comply with federal regulations to guard "your" non-public personal information.

For U.S.A. and Canada: Our Privacy Statement is available upon request by calling 1-800-248-4228.

XVII. EXTENDED SERVICE COVERAGE MATRIX- see matrix on next page.

Overhaul Protection For On-Highway Vehicle Engines Extended Service Coverage Matrix

Effective January 1, 2019

ITEM	Covered Components	ITEM	Covered Components
AIR INDUCTION & EXHAUST GROUP		FRONT AND REAR COVER GROUP	
Exhaust Manifold Studs	YES	Front Housing / Covers / Plate	YES 1
Exhaust Manifold Gaskets / Sleeves	YES	Front Cover Gasket	YES 3
Exhaust Manifold / Intake Manifold	YES 1	Flywheel Housing	YES 1
Pre-Cooler (Turbocharger) *	YES 1	Vibration Damper	YES 1
Pre-Cooler Mounting Bracket /Support (Turbocharger)	YES 2	SHORT BLOCK GROUP	
Coolant Diverter Valve or Assembly	YES 1	Cylinder Block Casting	YES 1
Turbocharger(s)/Turbocharger, Seals and Gaskets	YES 3	Spacer Deck (3176 only)	YES 1
CYLINDER HEAD GROUP		O-Ring Seals Between Spacer Block and Cyl Head (3176)	YES
Cylinder Head Casting	YES	Freeze Plug	YES 1
Cylinder Head Bolts	YES 1	Crankshaft Casting	YES 1
Cylinder Head Gasket	YES	Bearings (camshaft, crankshaft, rod, main and thrust)	YES
Freeze Plug	YES 1	Connecting Rod Assembly and Bushing	YES
Cylinder Head Injector Sleeves and Injector Sleeve Seal O-Rings	YES	Piston Assembly (includes wrist pin, retainer clips, rings)	YES
Spacer Plate (block and head)	YES 1	Cylinder Block Counterbore	YES 1
Spacer Plate Gasket	YES	Cylinder Liner, Seals, Filler Band	YES
Intake / Exhaust Valves (Includes spring, insert, guide, rotocoil, retainer)	YES	Main Bearing Cap Bolt	YES 1
Valve Mechanism (includes rocker arm, brackets, bridges, dowels, adjusting screws, nuts, shaft & push tubes)	YES 1	FUEL SYSTEM	
Valve Cover & Base	YES 1	Unit Injectors, Seals and Gaskets	YES 3
Valve Cover Gasket	YES	Mechanical Fuel Nozzles	YES
Camshaft	YES 1	Mechanical Fuel Nozzle Seals and Fasteners	YES
Camshaft Lifter Assembly (followers) Clips	YES 1	IMPORTANT NOTICE:	
Variable Valve Actuator (VVAs) Assembly *	YES 3	All "Covered Components" must pass inspection or be replaced at the proper intervals as prescribed by the Operation and Maintenance Manual by an "Authorized Dealer" to qualify for continued coverage under this Service Contract. "Your" failure to follow the Operation and Maintenance Manual may result in denial of coverage.	
Variable Valve Actuator (VVAs) Mounting Studs	YES 2	NOTE: Items marked "YES" are covered components that are required to be replaced during the overhaul.	
LUBRICATION SYSTEM		NOTE: Items marked "YES 1" are covered if they pass inspection or are repaired / replaced during the overhaul except applicable exclusions as given in the Service Contract.	
Oil Pan	YES 1	NOTE: Items marked "YES 2" must be of the latest design in order for the VVA assemblies and studs and the pre-cooler mounting bracket to qualify for coverage. Dealers must confirm the latest design or replace these components at the time of inspection to received coverage under the program.	
Oil Pump	YES 1	NOTE: Items marked "YES 3" are covered if replaced as optional components during the overhaul except applicable exclusions as given in the Service Contract. "Seals and gaskets are only covered if replaced at the time of the overhaul in conjunction with a new or REMAN Cat turbo (s), water pump, oil cooler, injector(s), and/or air compressor".	
Oil Cooler, Seals and Gaskets	YES 3	* Coverage applies only if the Pre-Cooler Mounting Bracket and Variable Valve Actuator (VVAs) Mounting Studs are of the latest design at the time of the overhaul.	
Piston Cooling Spray Jets	YES 1	U.S.A. and Canada Only: Towing, if selected on the registration page: This Service Contract provides reasonable or customary towing to the nearest "repairer" for a "mechanical breakdown" or reasonable travel expenses from the nearest "repairer" for a "mechanical breakdown" under normal use during the "coverage period" due to a defect in material or factory workmanship.	
COOLING SYSTEM		During Overhaul, the following rules apply:	
Thermostat Housing	YES 1	A. Injectors must be replaced as a set.	
Thermostat	YES	B. If the engine has more than 1 turbocharger, both must be replaced.	
Water Pump, Seals and Gaskets	YES 3	C. If the camshaft is replaced, any lifters/rollers/followers that are in direct contact with the camshaft must also be replaced.	
Water Pump Housing	YES 1	D. If the component is replaced, all parts of the component must be replaced.	
ELECTRONIC SYSTEM			
Engine Oil Rail (EOR) Valve	YES 1		
MISCELLANEOUS			
Air Compressor, Seals and Gaskets	YES 3		



**OVERHAUL PROTECTION
FOR ON-HIGHWAY TRUCK ENGINES (OPT)
OPERATING WORLDWIDE (Excludes Colombia and Venezuela)**

Overhaul Certification Worksheet - This is NOT the Registration Form

Program Effective Date: January 1, 2018

Overhaul Date: _____ Overhauling Dealer: _____ Overhauling Dealer Code: _____

Owner Name: _____ Owner Address: _____

Vehicle Year/Make/Model: _____ VIN #: _____ Engine Sales Model: _____ Engine S/N: _____

HP: _____ ECM Start Miles/Kms: _____ Odometer Start Miles/Kms: _____ Total Fuel (Gallons/Liters): _____

REQUIRED ACTIONS of DEALER

COMPLETED

OPTIONAL REPLACEMENT COMPONENTS

*Replaced **Exception

- Check SIMS and perform any applicable PIP / PSP's Yes
- For all 3400(all), C-15, C15, & C-16 following SEBF9008, completed liner projection sheet uploaded to SIMSi Yes
- Check Engine Serial number in SIMSi for possible duplicate Extended Service Coverage (ESC) or incorrect ESC registrations. Correct any issues prior to registration Yes
- Post overhaul, upload ECM Warranty Report to SIMSi; ECM must be reflashed with latest flashfile showing; Rating, FLS/FTS, and Injector Trim Codes/files (if applicable) Yes
- Validate overhaul was performed to Caterpillar factory specifications and arrangement is applicable for covered engine+++ Yes
- Completed Overhaul worksheet uploaded to Quote Plus or SIMSi. Yes

- Front Cover Gasket
- Turbocharger(s)*** / Seals / Gaskets
- Water Pump / Seals / Gaskets
- Unit Injectors****
- Air Compressor
- Variable Valve Actuators (VVAs) Assembly****

VERIFY REQUIRED REPLACEMENT COMPONENTS

ADDITIONAL COMPONENTS

INSPECTED Replaced **Exception

- Thermostat Yes
- Spacer Plate Gasket Yes
- Rod, Main & Thrust Bearings Yes
- Valve Cover Gasket Yes
- Oil Filter, Fuel Filters, and Cooling System Conditioner Yes
- Cylinder Packs (Required If Available) Yes
- Piston Group Wrist Pin, Retainer Clip & Rings (Where Applicable) Yes
- Piston Body Assembly (Where Applicable) Yes
- Exhaust Manifold Studs / Gasket / Sleeves Yes
- Cylinder Head Assembly / Head Gasket / Injector Sleeves Yes
- Injector Sleeve Seal O-rings Yes
- Connecting Rod Assembly (Where Applicable) Yes
- Fuel Nozzles (Where Applicable) Yes
- Cam Follower Spring Guides (Where Applicable) Yes
- O Ring Seals (Between Spacer Block & Cylinder Head) (3176 Only) Yes
- Cylinder Head Bolts on (C-10, C11, C-12, C13, 3400 (All), C-15, C15, & C-16) Yes
- Variable Valve Actuators (VVAs) Mounting Studs (Where applicable and NOT the latest design)(if latest design check Yes) Yes

- Pre-Cooler (turbocharger) +
- Coolant Diverter Valve or assembly(must be replaced if Pre-Cooler replaced)
- Pre-Cooler mounting bracket (turbocharger) ++
- Engine Oil Rail (EOR) Valve (VVA engines only)

ENGINE BLOCK AND ECM SERIAL NUMBER VALIDATION

Does engine block and ECM serial number match? Yes No

If No is marked - serial numbers do not match or block serial number cannot be determined, the dealer will validate all engine components are consistent with the engine arrangement and serial number being registered. Validated No ECM

Block serial number (if does not match ECM) or NA: _____

NOTES:

*Optional Replacement Components are covered only if replaced with genuine Caterpillar new or remanufactured components at time of the overhaul.
 **If Exception is marked the component will not be covered under OPT
 *** If the engine has two turbocharger(s), both must be replaced to qualify for optional replacement component coverage under OPT.
 **** Unit Injectors and Variable Valve Actuators (VVAs) must be replaced as a set to qualify for optional replacement component coverage under OPT.
 + Pre-Cooler is covered only if inspected or replaced, and the Pre-Cooler Mounting Bracket is of the latest design at the time of the overhaul.
 ++ This component must be of the latest design to qualify for coverage. Dealers must confirm the latest design or replace this component at the time of the overhaul to receive coverage under OPT.
 +++ Modifications made to the overhauled engine may lead to claim denial and/or cancellation of coverage. End user review of REHS3809 - Customer Communication Regarding Unauthorized Modifications - is required.

Overhaul Certification Worksheet (cont'd)

INSPECTED COMPONENTS

Components listed in this section are covered only if they pass inspection and are repaired or replaced during the overhaul. Parts not replaced must be within the specifications set forth in the applicable service guide or applicable Caterpillar defined guideline for reusable parts. If a component fails the inspection and is not repaired or replaced it will not be covered under this program. In this case the exception box should be marked. One time use components as identified by the applicable service guide must be replaced. If the component is replaced, all parts of the component must be replaced. If all parts of the component are not replaced, it should be marked as an exception and will not be covered under this program.

	INSPECTED	Replaced	Exception		INSPECTED	Repaired	Replaced	Exception
Thermostat Housing	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Cylinder Head Bolts (Mid Range Only)	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
Spacer Plate / Spacer Block	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Exhaust Manifold	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
Camshaft	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Valve Cover & Base	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
***Camshaft Bearings		<input type="radio"/>	<input type="radio"/>	Water Pump Housing	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
*Camshaft Follower / Lifter	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Flywheel Housing	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
Vibration Damper	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Front Housing	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
Crankshaft	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	**Cylinder Block / Deck / Counter Bore	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Oil Pump	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Piston Cooling Spray Jets	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
Front Covers and Plate	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Oil Pan	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
Oil Cooler Housing	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Freeze Plugs	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
Rocker Arm Assembly	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>	Main Bearing Cap Bolts	<input type="checkbox"/>		<input type="radio"/>	<input type="radio"/>
Intake Manifold	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>					
Intake Manifold	<input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>					

*At the time of the overhaul, if the camshaft is replaced, any lifters/rollers/followers that are in direct contact with the camshaft must also be replaced. If the lifters/rollers/followers are not replaced, the camshaft should be marked as an exception and will not be covered under this program.
 **At the time of the overhaul, if the cylinder block is cracked or is or has been welded / repaired, the block must be replaced or marked as an exception and is not covered under the program.
 ***At the time of the overhaul, camshaft bearings must all be replaced to be covered or marked as an exception and are not covered under the program.

The dealer has explained this Overhaul Certification Worksheet to me. Known problems, as identified during this overhaul, by this inspection, have been corrected.

I hereby certify that the appropriate Overhaul Certification procedure as specified above has been completed and the engine is eligible for Overhaul Protection. Only genuine Caterpillar new or remanufactured components were utilized on the repairs or replacements listed above. A copy of the Dealer Work Order is attached.

Customer Signature _____ Date _____
 Customer Name (Printed) _____

Dealer Service Manager Signature _____ Date _____
 Dealer Service Manager Name (Printed) _____

CAT ON-HIGHWAY TRUCK ENGINES

2023 CUSTOMER LIST PRICES

OPT (OVERHAUL PROTECTION FOR TRUCK)

CATERPILLAR CONFIDENTIAL: GREEN

PRICES SUBJECT TO CHANGE WITHOUT NOTICE.

EFFECTIVE FOR REGISTRATIONS BETWEEN JANUARY 1 AND DECEMBER 31, 2023

Includes impact of Cat In-Shop Rebuild Discount Program (amounts highlighted in GREEN)			PRE-ACERT			ACERT 2004		ACERT 2007	
			MR	HD		MR	HD	MR	HD
			Models: 3116, 3126, 3208	Models: 3176, 3306, 3406, C-10, C 12, C-15	Models: C16, C-16, 3406E (16L)	Models: C7	Models: C9, C-9, C11, C13, C15	Models: C7	Models: C9, C13, C15
COVERAGE & MONTHS	ESC MILES	DEDUCTIBLE PER VISIT							
OPT									
18	UNLIMITED	\$0	\$990	\$1,730	\$3,800	\$1,190	\$2,140	\$1,820	\$1,850
18	UNLIMITED	\$100	\$920	\$1,580	\$3,440	\$1,090	\$1,940	\$1,650	\$1,680
18	UNLIMITED	\$250	\$860	\$1,460	\$3,170	\$1,020	\$1,800	\$1,530	\$1,560
OPT									
24	UNLIMITED	\$0	\$1,260	\$1,830	\$4,030	\$1,520	\$2,260	\$2,350	\$1,950
24	UNLIMITED	\$100	\$1,150	\$1,670	\$3,650	\$1,390	\$2,060	\$2,130	\$1,780
24	UNLIMITED	\$250	\$1,070	\$1,550	\$3,360	\$1,290	\$1,900	\$1,970	\$1,650
OPT									
36	UNLIMITED	\$0	\$1,890	\$2,510	\$5,630	\$2,310	\$3,120	\$3,630	\$2,680
36	UNLIMITED	\$100	\$1,720	\$2,280	\$5,080	\$2,100	\$2,830	\$3,280	\$2,440
36	UNLIMITED	\$250	\$1,590	\$2,110	\$4,680	\$1,940	\$2,610	\$3,030	\$2,250
OPT									
48	UNLIMITED	\$0	\$2,340	\$5,330	\$12,240	\$2,870	\$6,690	\$4,550	\$5,710
48	UNLIMITED	\$100	\$2,120	\$4,820	\$11,030	\$2,610	\$6,040	\$4,110	\$5,160
48	UNLIMITED	\$250	\$1,960	\$4,430	\$10,130	\$2,400	\$5,550	\$3,790	\$4,750
TOWING									
18-48	UNLIMITED	\$0	\$500	\$500	\$500	\$500	\$500	\$500	\$500

Models and Serial Number Prefix List (REMAN Prefixes are underscored):

Pre-ACERT:

3116 - (2BK, 2FR, 3AF, 7HJ, 7HS, 7SF, 8WL, 9GK, 9LN, 9YN)
 3126 - (1AJ, 1WM, 3RW, 4ES, 6RW, 7AS, 8SZ, 8YL, 9SZ, BES, BKD, CKM, CRP, DPF, HEP)
 3176 - (2YG, 3LZ, 5XN, 7LG, 9CK)
 3208 - (0ZZ, 32Y, 40S, 51Z, 5CD, 62W)
 3306 - (63Z, 76R, 7RJ, 9TL)
 3406 - (1LW, 1WW, 2EK, 2WS, 3ZJ, 4AS, 4CK, 4MG, 5EK, 5KJ, 5YG, 6TS, 7FB, 7XC, 8PN, 8TC, 8SB, 9HB, 92U, RWS)
 3406E 16 Liter (1MM, 5DS)
 C-10 - (2PN, 3CS, 8YS, AKB, F8H, MBJ)
 C-12 - (170, 1YN, 2KS, 8YF, 9NS, 9SM, ALS, CPD, GEP, MBL, R1D, TME)
 C-15 - (6NZ, 9NZ, C2A, MBN)
 C-16 - (7CZ, G1D)

2004 ACERT:

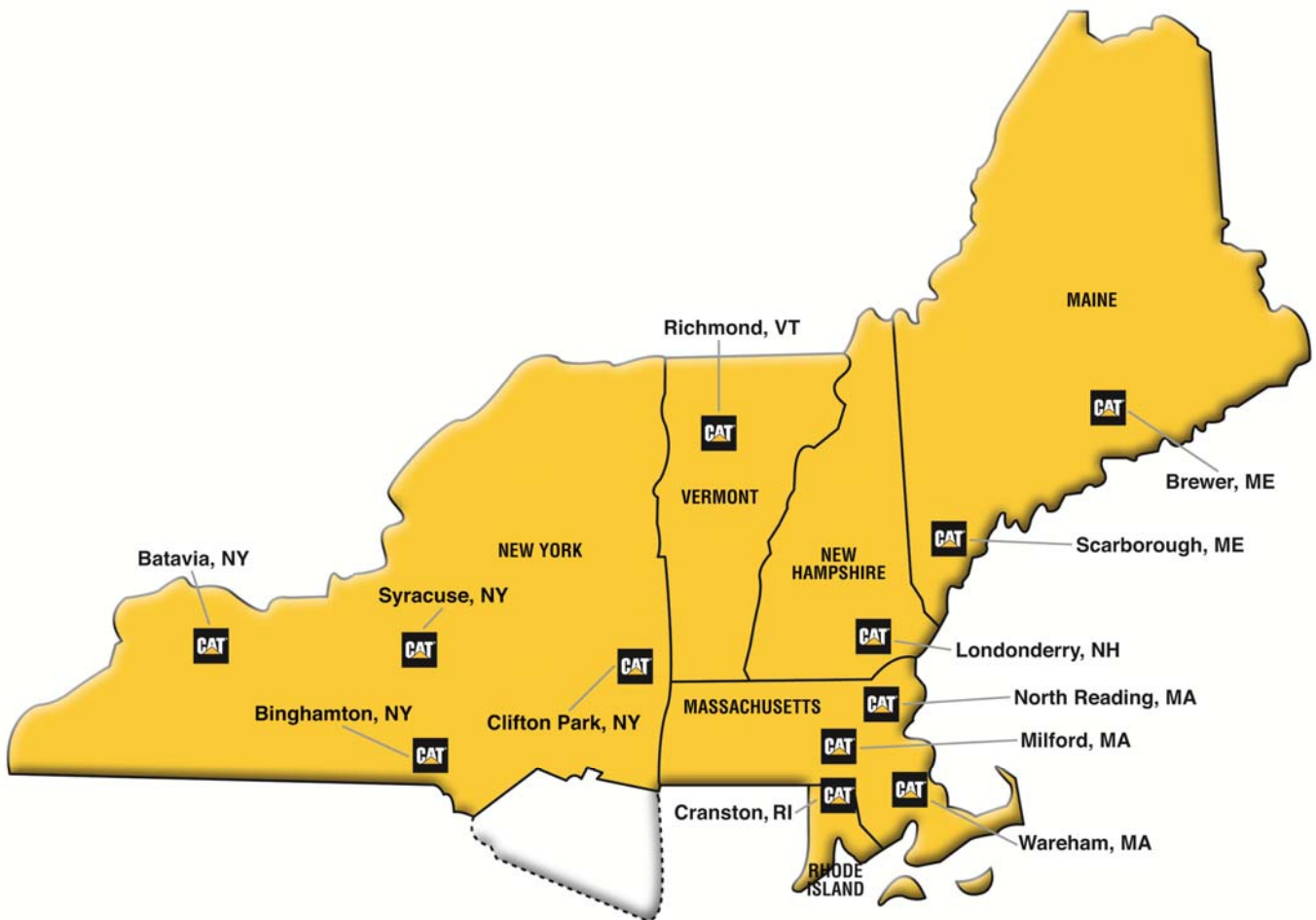
C7 - (110, KAL, SAP, WAX)
 C9 - (9DG)
 C11 - (KCA)
 C13 - (130, KCB)
 C15 - (137, BXS, XSM, MXS, NXS)

2007 ACERT:

C7 - (C7S)
 C9 - (C9S, MFF)
 C13 - (LEE)
 C15 - (SDP)

Note: models shown may reflect other generations of that model; i.e. 3126 also represents the 3126B, 3126C and 3126E.

Multiple Locations to Serve You Better



Milton

