

2024 Advantage Used Engine Industrial Strength Extended



Coverage you can
count on! Let's Do
The Work!

Pricing included in
this package

Pre-Tier 4

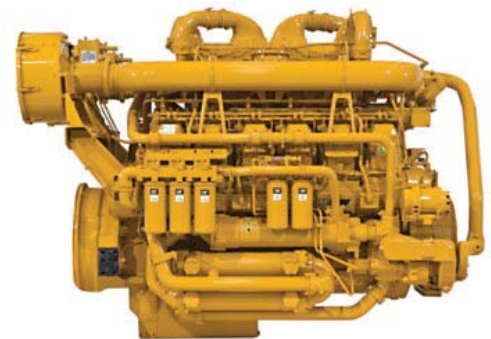
Tier 4

Contact one of our Milton Cat
Power Systems Service
Supervisors nearest your
location to schedule an engine
certification today or our
nearest ISD Dealer.

For more information
Contact:
603-665-4570 or email
esc@miltoncat.com to
extend or for a quote

Rhonda Gelinis
603-665-4516

Milton



Note: Pricing is subject to
change without notice.

INDUSTRIAL STRENGTH EXTENDED PROTECTION



Extended Service Coverage (ESC) INDUSTRIAL ENGINES

Your operation depends on reliable power. That's why you specify Cat® industrial engines. With Extended Service Coverage (ESC), you get service coverage that's just as durable and long-lasting—so you can spend less time managing your engines and more time running your business. ESC for new, used and overhauled engines is built to protect your investment and your peace of mind.





A VARIETY OF COVERAGE OPTIONS

- > New ESC: coverage for new engines
- > Advantage ESC: coverage for used engines
- > Overhaul ESC: coverage for overhauled engines

ESC BENEFITS

- > Protect your investment with coverage for parts and labor expense on covered components (less any applicable deductible)
- > Lock in parts and labor repair costs up front
- > Make sure repairs are done right the first time with factory-trained technicians using genuine Cat parts
- > Get back up fast with covered repairs from the best dealer network
- > Return your engine or generator set to its operating specifications prior to failure, meeting all requirements for safe use and environmental compliance
- > Choose from multiple coverage levels and deductible options to fit your budget and operational needs
- > Combine ESC with a Customer Value Agreement for complete maintenance and repair protection

WHY ESC?

- > **GLOBAL COVERAGE:** Our ESC is available everywhere—whether your industrial engine is stationary, in a single location or powering a machine that works around the world.*
- > **LOCAL EXPERTISE:** Trained technicians at more than 2,500 Caterpillar authorized service locations have the experience, training and tools to repair your industrial engine quickly and accurately.
- > **EASE OF DOING BUSINESS:** Our pricing terms are simple, and you can customize coverage options to fit your individual needs.
- > **PEACE OF MIND:** When you choose ESC, you can be confident knowing your investment is protected by the power of Caterpillar.
- > **HISTORY OF PROTECTION:** Your Cat dealer is backed by Cat Financial—together, we've been providing product support through ESC programs to industrial engine customers since 1986.

*Except where prohibited, see ESC Contract.

For more details, contact your local Cat dealer about ESC today.

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Cat® Extended Service Coverage (ESC)

4 EASY STEPS TO PROTECT YOUR INDUSTRIAL ENGINE

Your operation depends on reliable power. That's why you specify Cat® industrial engines. With Extended Service Coverage (ESC), you get additional service that's just as durable and long-lasting. ESC for **new, used and overhauled industrial engines** protects your investment and your peace of mind. Choosing coverage is as easy as following these four steps.

1 IDENTIFY YOUR COVERAGE NEEDS

Identify your annual hours of use and preferred deductible to choose the best ESC terms to fit your needs. For engines outside of their original factory warranty, identify the age and current operating hours since delivery.

2 CHOOSE FROM A VARIETY OF COVERAGE OPTIONS

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

NEW ESC	Coverage for industrial engines is available in 24- to 60-month terms, in 12-month increments, if purchased before the end of your original factory warranty.
ADVANTAGE ESC	Coverage is available after the end of the original factory warranty in 12- to 60- month terms, in 12-month increments, and before the first overhaul. Your engine: <ul style="list-style-type: none">> Can be covered for up to 10 years from its delivery date> Must be within defined hour use limitations> Must pass a qualifying inspection performed by an authorized Cat dealer> Can be covered for one to five years after each inspection.
OVERHAUL ESC	Coverage is available in 12- to 60-month terms, in 12-month increments. Your engine is eligible once a qualifying overhaul has been completed by an authorized Cat dealer in accordance with the Overhaul ESC Checklist.

3 SELECT YOUR COVERAGE LEVEL

Then, choose from our Silver, Gold, Platinum or Platinum Plus coverage levels (New and Advantage ESC only) to get the exact amount of protection you need based on the Coverage Matrix¹ and Additional Allowances. Overhaul ESC options are also available. Contact your local Cat dealer for details.

COVERAGE MATRIX¹

Cooling System	Silver	Gold	Platinum ²
Thermostat Housing	✓	✓	✓
Water Manifold Housing	✓	✓	✓
Jacket Water Precooler	✓	✓	✓
Jacket Water Pump		✓	✓
Thermostat			✓
Radiator & Fan			✓
Fuel System			
Steel Fuel Lines	✓	✓	✓
Fuel Shutoff Solenoid	✓	✓	✓
Fuel Injectors		✓	✓
Fuel Transfer Pump & Housing			✓
Fuel Priming Pump			✓
Fuel Transfer Pump			✓
Lubrication System			
Pan, Pump Cooler	✓	✓	✓
Crankcase Breather			✓
Engine Oil Pump Drive			✓
Prelubrication Pump			✓
Electric System			
Control Module (ECM)	✓	✓	✓
Sensors: All Engine Sensors	✓	✓	✓
Wiring Harness & Connectors			✓
Starter			✓
Engine Alternator			✓

Air Induction & Exhaust	Silver	Gold	Platinum ²
Exhaust Manifolds, Studs & Gaskets	✓	✓	✓
Inlet Air Heater Relay	✓	✓	✓
Intake Manifold	✓	✓	✓
Turbocharger(s)		✓	✓
Air-to-Air Aftercooler Cores			✓
Muffler/Exhaust System			✓
Exhaust Guards			✓
Diesel Oxidation Catalyst			✓
Short Block			
Cylinder Block Casting	✓	✓	✓
Crankshaft	✓	✓	✓
Connecting Rod Assembly	✓	✓	✓
Piston, Wrist Pin, Retainer Clip & Piston Rings	✓	✓	✓
Idler and Timing Gears			✓
Accessory Drive			✓
Cylinder Head			
Cylinder Head	✓	✓	✓
Intake & Exhaust Valves	✓	✓	✓
Valve Mechanism	✓	✓	✓
Camshaft, Camshaft Bearings, Key, Gear	✓	✓	✓
Front & Rear Covers			
Front Cover/Plate/Housing/Gears & Gaskets	✓	✓	✓
Vibration Damper	✓	✓	✓
Flywheel Housing & Gasket	✓	✓	✓
Crankshaft Front & Rear Seal			✓
Optional Aftertreatment Coverage			
Diesel Particulate Filter	✓ ³	✓ ³	✓ ³
Selective Catalytic Reduction	✓ ³	✓ ³	✓ ³

¹ This Coverage Matrix is for reference only and does not represent a complete list of covered components. For additional information, please reference the appropriate ESC contract.

² Platinum level covers the as-shipped consist from the factory with Cat part numbers. Some exclusions may apply.

³ Recent emissions-compliant industrial engines may be equipped with a Diesel Particulate Filter (DPF) and/or a Selective Catalytic Reduction (SCR). We offer coverage at an additional cost on these emissions components. Silver, Gold, Platinum or Platinum Plus base level coverage is required.

Platinum Plus goes beyond Platinum coverage to include Cat components installed by an authorized dealer. Such components must be approved. See your Cat dealer for details. Platinum Plus also offers more Additional Allowances and remote troubleshooting fees, up to a maximum of \$50.00 per claim.

ADDITIONAL ALLOWANCES

Engine Displacement ⁴	Travel/Mileage Limitations		Emergency Freight	Overtime	Disconnect & Connect
	Silver, Gold, Platinum	Platinum Plus Only	All Coverage Levels	Platinum Plus Only	Platinum Plus Only
Up to 4 liters	2 hr/100 mi or 161 km	2 hr/100 mi or 161 km	\$500 USD	\$3,000 USD	\$1,500 USD
Over 4 liters up to 7.5 liters	4 hr/200 mi or 322 km	10 hr/500 mi or 805 km	\$500 USD	\$3,000 USD	\$1,500 USD
Over 7.5 liters	8 hr/320 mi or 515 km	10 hr/500 mi or 805 km	\$500 USD	\$3,000 USD	\$1,500 USD

⁴ Please refer to the industrial engine spec sheets for particular engine displacement.

4 PURCHASE AND REGISTER YOUR ESC

Finally, work with your local 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. Subject to change without notice. In case of conflict, the ESC contract will govern.

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INDUSTRIAL ENGINE EXTENDED SERVICE COVERAGE

New and Advantage Industrial Engine Extended Service Coverage (ESC) Registration Certificate

Effective Date: January 1, 2021

Customer Name: _____ Phone: _____
 Address: _____ City: _____
 State/Province: _____ Postal Code: _____ Country: _____

Cat® Dealer _____ Dealer Code: _____
 (non-U.S. Provider):
 Address: _____ City: _____
 State/Province: _____ Postal Code: _____ Country: _____

Industrial Service Dealer: _____ Dealer Code: _____
 Address: _____ City: _____
 State/Province: _____ Postal Code: _____ Country: _____

U.S. Provider: See contract Section XIII for details.

REGISTRATION DETAIL

New Engine ESC: Engine Model: _____ Application: _____
 Advantage ESC: Serial Number: _____ Engine Horsepower: _____
 New Engine ESC Upgrade: Delivery Date: _____ Engine Rating: _____
 Advantage ESC Upgrade: Current Hours: _____ Emissions Rating: _____

This section is for Advantage Registrations and only if required -see Advantage eligibility requirements explained in Section XVII of contract:

Advantage Inspection Date: _____ Advantage Inspection Hours: _____

Dealer Note: Be sure to upload Advantage Inspection requirements to SIMSi or Quote Plus, including fluid sample results and digital pictures of unit.

EXTENDED SERVICE COVERAGE OPTIONS AND TERMS

Coverage Type	Optional Coverage	Coverage Terms	Special Quote Number (attach if applicable):
<input type="checkbox"/> Silver	<input type="checkbox"/> DPF	Coverage Months: _____ <input type="checkbox"/>	Quote Creation Date: _____
<input type="checkbox"/> Gold	<input type="checkbox"/> SCR	Coverage Hours: _____	Immediate Coverage Start begins on _____ @ _____ hours
<input type="checkbox"/> Platinum		Deductible: _____ <input type="checkbox"/>	Delayed Coverage Start begins on _____ @ _____ hours
<input type="checkbox"/> Platinum Plus			

EXTENDED SERVICE COVERAGE FEE

ESC Fee: U.S.D. _____

Applicable Taxes: U.S.D. _____

Other Charges: U.S.D. _____

ESC Credit (Upgrades only): U.S.D. _____

Total ESC Price: U.S.D. _____ 0

COVERAGE SUMMARY:

LIMIT OF LIABILITY:

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

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 Service Coverage as specified on this Registration Certificate and have read and understand the Dealer's responsibilities as specified in the Extended Service Coverage Program Administration Manual.

Customer Signature

Date

Authorized Dealer Representative

Date

This contract is not valid until registered

Distribution: Original - Customer Copy Copy - Cat Dealer

TERMS AND CONDITIONS

These Terms and Conditions are specifically for Caterpillar commercial engines and are an important part of Provider's continuing effort to provide Customer with superior value and product support. These Terms and Conditions govern the terms of coverage outlined in the Registration Certificate and taken together constitute the Extended Service Coverage Contract (Contract).

I. DECLARATIONS

This Contract defines coverage for the Cost, less any applicable Deductible, per failure, of a Mechanical Breakdown under normal use during the Coverage Period due to a defect in material or factory workmanship of Covered Components. This Contract is subject to the applicable exclusions listed under **Section VI. EXCLUSIONS AND LIMITATIONS.**

This Contract should be purchased on the Covered Equipment's original purchase date from an Authorized Dealer. Certain fees, penalties and coverage availability limits may apply for Contracts requested after the original purchase date.

For **New Extended Service Coverage (ESC)**, the Coverage Period under this Contract starts at the Delivery Date of the Covered Equipment. No claim will be paid until this Contract is registered. Pre-existing claims, claims originating prior to the registration of this ESC, will not be paid.

For **Advantage ESC**, the Coverage Period under this Contract starts:

- The date of successful completion of the Advantage Certification Inspection for Covered Equipment not awaiting resale; or
- Within twelve (12) months from the original date of the Advantage Certification Inspection for Covered Equipment in dealer inventory awaiting resale; or
- On the date of transfer of coverage from an Authorized Dealer to Customer.

Under this Contract, coverage Upgrade or Coverage Continuation for New or Advantage ESC starts at the date of registration of the changed coverage for claims reimbursement. Pre-existing claims, prior to the registration of the coverage Upgrade or Coverage Continuation, that would not have been paid under the original coverage, will not be paid. In the event a pre-existing claim is paid in error, Provider will recover the full amount paid and assess an Administrative Fee of ten percent (10%) of the amount paid in error.

Major items that are serialized with unique model nomenclature, such as switchgear, automatic transfer switches or uninterruptible power supplies, each require a separate contract.

II. DEFINITIONS

"Advantage ESC" means extended service coverage available for Covered Equipment outside the standard factory warranty period, but before an overhaul.

"Aftertreatment" is a general term for a reduction device or system installed to reduce regulated engine exhaust emissions. The systems may or may not be mounted on the engine. Aftertreatment is comprised of the following:

- **"DPF"** means diesel particulate filter, which is an Aftertreatment component included in the Technical Marketing Information (TMI) as-shipped consist or Order Invoice with Engineering Breakdown. The DPF and related systems are designed to reduce Particulate Matter (PM) emissions levels. DPF coverage must be ordered with engine coverage and can be ordered in combination with

SCR coverage.

- **“SCR”** means selective catalytic reduction system, which is an Aftertreatment component included in the Technical Marketing Information (TMI) as-shipped consist or Order Invoice with Engineering Breakdown. The SCR and related urea-based diesel exhaust fluid systems are used to reduce Oxides of Nitrogen (NOx) emissions levels in engines. SCR coverage must be ordered with engine coverage and can be ordered in combination with DPF coverage.
- **“DOC”** means diesel oxidation catalysts, which is an Aftertreatment component designed to convert carbon monoxide (CO) and hydrocarbons into carbon dioxide (CO2) and water. The DOC can be used as a standalone component or in conjunction with a SCR and/or DPF.

“Authorized Dealer” means a dealer authorized by the Manufacturer to sell, service and repair Covered Equipment.

“Authorized Representative” means a representative authorized by Provider to act on Provider’s behalf.

“Caterpillar” means Caterpillar Inc. and any of its direct or indirect subsidiaries.

“Cost” means the usual and customary charges as determined by the Manufacturer for parts, labor, and other allowances necessary to repair or replace the Covered Components. Replacement parts will be genuine Caterpillar manufactured parts, when performing repairs. Genuine Caterpillar parts include new, remanufactured or Caterpillar approved repaired components.

“Coverage Fees” means the amount paid for the ESC.

“Coverage Period” means the period that commences with the Coverage Start Date and expires when the duration or usage hours, as specified on the Registration Certificate, are reached, whichever occurs first.

“Coverage Start Date” begins on the Delivery Date of the Covered Equipment for NEW ESC and on the date of the completed Advantage Inspection Certification of the Covered Equipment for Advantage ESC.

“Covered Component” means the components listed and identified for the appropriate level of coverage in **Section XV. COVERED COMPONENTS.**

“Covered Equipment” means the equipment identified by serial number for this Contract as recorded on the Registration Certificate and accepted by Provider.

“Customer” means Customer name on this Contract.

“Deductible” is the amount Customer agrees to pay per failure for a Mechanical Breakdown.

“Delivery Date” is the beginning date of the Caterpillar standard factory warranty period to the initial user for new product.

“Eligibility Start Date” means the date on which a Customer is eligible to sign up for ESC, which is the date of delivery of Covered Equipment for New ESC, or the date of inspection for Advantage ESC.

“ESC” means extended service coverage, which provides protection for Customer against unexpected repair Costs for Covered Components, as further described in this Contract.

“Manufacturer” means Caterpillar Inc. or any of its subsidiaries that manufacture Covered Equipment.

"Mechanical Breakdown" means the failure, due to a defect in material or workmanship, of any 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 & Maintenance Manual (OMM).

"New ESC" means extended service coverage available for Covered Equipment within the standard factory warranty period.

"OEM" means original equipment manufacturer, which can include Manufacturer [or other manufacturers].

"Pre-Existing Claim" is a claim filed for a failure which occurred prior to the execution of this Contract and prior to registration of ESC for the Covered Equipment.

"Provider" means the entity issuing this Contract and further defined in **Section XIII. PROVIDER**.

"Repairer" means a business entity approved or authorized as a repair facility by Manufacturer or an Authorized Dealer.

"Registration Certificate" means page one (1) of this Contract, or as generated by the Contract administrator's quoting and registration platform.

"Sanctions" means economic or financial sanctions or trade embargoes imposed, administered or enforced from time to time by (a) the United States (U.S.) government, including those administered by the Office of Foreign Assets Control of the U.S. Department of Treasury or by the U.S. Department of State; or (b) the United Nations Security Council, the European Union, or Her Majesty's Treasury of the United Kingdom.

"Sanctioned Person" means, at any time, (I) a person listed in any sanctions-related list of designated persons maintained by the U.S. Department of the Treasury, the U.S. Department of Commerce, the U.S. Department of State, or by the United Nations Security Council, the European Union or any EU member state, or (II) any person owned or controlled by any such person.

"Upgrade" or **"Coverage Continuation"** is a change to one or more of the existing Contract terms that results in a higher price for the coverage.

"Warranty" or **"Warranties"** means the Manufacturer's standard factory warranty or a Repairer's guarantee or warranty.

III. PROVIDER RESPONSIBILITIES

- When a Mechanical Breakdown occurs, Provider will reimburse the Cost, less any applicable Deductible, to repair, replace or rebuild the Covered Component, and to the extent such Mechanical Breakdown causes damage to the Covered Equipment, Provider will reimburse the Cost, less the Deductible, to repair, replace or rebuild the Covered Equipment, this Cost not to exceed Caterpillar's list price for the equivalent Covered Equipment. This work will be reimbursed at normal working hour labor rates at a Repairer's place of business.
- Provider will provide, at Provider's choice, new, remanufactured or repaired components when replacing or repairing any Covered Components. Further, Provider will also reimburse for any component with a Caterpillar part number that is rendered unserviceable by a Covered Component and/or Mechanical Breakdown and reasonable labor to complete the repair.
- Provider will restore the Covered Equipment to its operating condition immediately prior to the Mechanical Breakdown by repairing and/or replacing only the required Covered Components and

any component with a Caterpillar part number that was rendered unserviceable as a consequence of the Mechanical Breakdown, which would be necessary to correct the defect in the Covered Equipment.

- Provider will reimburse the reasonable labor to disconnect and reconnect the Covered Equipment to its attached equipment, mounting, and support systems, if required. Other parts or components removed in the process of the repair will be reinstalled as is, unless Customer authorizes and pays the additional expense to repair or replace the other parts.
- Provider will also pay the reasonable Costs of any consumables made unusable as a result of a Mechanical Breakdown.
- Provider will reimburse applicable transportation and importation Costs at standard factory warranty approved levels.

IV. CUSTOMER RESPONSIBILITIES

- Customer shall operate, repair, and perform all recommended maintenance for the Covered Equipment according to the guidelines and recommendations as specified in the Manufacturer's OMM.
- Customer shall utilize an Authorized Dealer for all scheduled oil sampling (S.O.S.) as specified in the Manufacturer's OMM, by submitting samples promptly with necessary sample information at the specified service intervals, and take the appropriate action as recommended by Authorized Dealer based on the S.O.S. results.
- Customer shall be responsible for labor and material Costs for the removal and reinstallation of Covered Equipment, except as stated in **Section III. PROVIDER RESPONSIBILITIES**, or in **Section XVI. ADDITIONAL COVERAGE**, if applicable.
- Customer shall be responsible for all Costs not covered by this Contract.
- Customer shall be responsible for maintaining reasonable documentation of all scheduled maintenance and repairs of the Covered Equipment, such as receipts or copies of work orders or invoices from Repairers or Authorized Dealers showing the maintenance and services performed pursuant to the Manufacturer's OMM recommendations. In the event of a Mechanical Breakdown, Customer may be required to present documentation of scheduled maintenance and repairs.
- Customer shall only use the Covered Equipment for its intended application and shall follow guidelines of the Manufacturer's OMM.
- Customer shall ensure operators have training on proper operation of the Covered Equipment and follow guidelines of the Manufacturer's OMM.
- Customer shall confirm that neither Customer, nor any of Customer's respective directors, officers or employees, or any guarantor of this Contract, or to Customer's knowledge, any agent or subsidiary of Customer's that will act in any capacity in connection with or benefit from this Contract and the services hereunder, is at any time identified as a Sanctioned Person.

In the event of a failure of the Covered Equipment, Customer shall:

- Take all reasonable steps to protect and safeguard the Covered Equipment.
- Report the failure promptly to Provider or a Repairer.
- Promptly make the Covered Equipment available to a Repairer for examination and repairs and provide proof of this Contract by presenting Customer's copy of the Registration Certificate.
- Furnish Provider or a Repairer with such information as may be reasonably required to assess the failure.
- Provide needed documentation or information upon request.

V. COVERAGE TERRITORY

This Contract applies to Covered Equipment worldwide except when coverage provided by this Contract would be in violation of Sanctions. In such case, this Contract 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 Sanctions shall be null and void.

VI. EXCLUSIONS AND LIMITATIONS

This Contract does not cover a failure caused by:

- Wear-out and normal deterioration in performance, including oil consumption and gasket or seal leaks;
- Wear-out or failure of components due to (i) operation beyond the design and/or capacity of the product, (ii) operator abuse, (iii) improper operation technique, or (iv) application not approved by Caterpillar;
- Corrosion and physical or mechanical erosion;
- Operating equipment with improper, contaminated, or improper levels of fuel, fluids, coolants, lubricants, or the use of improper filters;
- Repairer workmanship;
- Modifications, unless the modifications were authorized at the request of Manufacturer and performed at an approved repair facility;
- Abuse, neglect, or any failure to inspect, observe and comply with maintenance and servicing practices, specifications, intervals and requirements recommended or directed by the Manufacturer or Provider;
- Any failure to test oil samples according to an oil sampling program or analysis (including infrared analysis) as recommended or directed by the Manufacturer;
- Failure of a component which is not a Covered Component;
- Resultant damage caused by a component, which is not a Covered Component, including filter failures, clogging, or blockage;
- Use or establishment of fuel settings for Covered Equipment which are inconsistent with settings recommended by Provider or the Manufacturer; or
- Operating the product at performance settings other than the standard Manufacturer specification.

This Contract also does not pay for the Costs arising from:

- Acts of God, acts of nature, acts of war, vermin, collision, fire, theft, vandalism, riot, or explosion;
- Performance-related complaints, including, but not limited to, adjustments to fuel settings or fuel injectors/nozzles;
- The supply or consumption of lube oils, grease, coolant or air conditioner refrigerant, unless otherwise provided in this Contract or agreed by Provider;
- Any Costs incurred to improve operation performance;
- Any Costs for load or performance testing, even when Caterpillar guidelines call for such testing following a covered repair;
- Work associated with performing a Product Improvement Program (PIP) or Product Support Program (PSP);
- Any loss of or damage to a Covered Component occurring or arising outside the coverage territory, as stated in **Section V. COVERAGE TERRITORY**;

- Routine maintenance items, normally scheduled preventive maintenance, or maintenance services as explained in the Manufacturer's OMM, including but not limited to, valve lash adjustments or replacements of filters, fuel nozzles, fuel injectors, thermostats, seals, gaskets, hoses, vee-belts, batteries, and clutches;
- Storage of Covered Equipment;
- Miscellaneous shop supplies;
- Steel shims and cast-iron block inserts;
- Clamps and other fasteners not specified in **Section XV. COVERED COMPONENTS;**
- Any Costs associated with Mechanical Breakdowns covered under any Warranty whether enforceable or not; including Emissions Warranty or Repairer's guarantee regardless of whether the Warranty or Repairer's guarantee is honored;
- Parts shipping charges and service charges unless provided by coverage type as described in **Section XVI. ADDITIONAL COVERAGE;**
- Any and all taxes;
- Any Costs associated with loss of time, inconvenience, downtime or downtime-related expenses or other incidental or consequential loss;
- Physical damage not related to Mechanical Failure;
- Any repairs if the service meter has been stopped or altered or misrepresents the Covered Equipment's actual usage;
- Reimbursement for meals or overnight lodging;
- Failures associated with enclosures, containers, undercarriage, ladders, lights, wheels, axles, brakes, tires, sound attenuation, sound reduction material, insulation, stabilizing jacks, fire suppression and fire extinguishers;
- Contingent damage to component(s) which were not part of the original factory consist; or
- Additional Cat components installed by the Original Equipment Manufacturer (OEM), any Cat dealer, any authorized second level dealer or Customer after the in-service date of the engine.

Failure to provide reasonable documentation of required maintenance, as required in **Section IV. CUSTOMER RESPONSIBILITIES** may result in partial or non-payment of claim.

Coverage may be discontinued if an overhaul to the Covered Equipment becomes necessary as defined by key measures explained in the Manufacturer's OMM for the model and application, as indicated on the Registration Certificate. These key measures include, but are not limited to, valve recession, oil consumption, blow by, Scheduled Oil Sample (S.O.S) recommendations, total fuel consumed or service hours.

VII. UPGRADE OR COVERAGE CONTINUATION

Subject to the limitations outlined in this Section, Customer may Upgrade or extend the following terms of coverage indicated on Customer's Registration Certificate:

- Coverage level (Silver, Gold, Platinum, or Platinum Plus),
- Coverage months (Duration),
- Coverage hours (Usage), or
- Deductible level.

Eligibility guidelines for a coverage upgrade are as follows:

A. For New ESC:

1. An Upgrade to the coverage level or Deductible level is eligible during the Covered Equipment's standard factory warranty period.
2. An increase to the coverage months or hours (Coverage Continuation) or a decrease in Deductible amount is eligible any time while under standard factory warranty or an active ESC.

B. For Advantage ESC:

1. Upgrades in coverage level are not permitted.
2. An increase to the coverage months or hours (Coverage Continuation) or a decrease in Deductible amount is eligible any time during the active ESC up to specified limits. Restrictions apply.

Changes to the existing Contract terms may require Provider's approval, may result in additional testing requirements, and will result in an adjustment in price for the program coverage.

Provider reserves the right to deny an Upgrade request based on the claims' history of the Covered Equipment.

This Contract's terms cannot be reduced once enrolled.

VIII. TRANSFER OR ASSIGNMENT OF EXTENDED SERVICE COVERAGE

The remaining coverage of this Contract may be transferred or assigned to subsequent owners, at Provider's sole discretion and at no extra charge provided the usage application is not different and the transfer or assignment would not violate Sanctions. The new owner of the Covered Equipment must present a copy of the current Registration Certificate to Provider within thirty (30) days of the transfer of the Covered Equipment's title and Provider may approve the transfer or assignment of the coverage.

IX. TERMINATIONS AND REFUNDS

- Customer may cancel this Contract by providing written notice of intent to cancel and returning this Contract to the Contract administrator. Cancellation will be effective on the date the Contract administrator receives the written cancellation notice.
- Refund and Administration Fee. If Provider receives Customer's written cancellation notice and returned this Contract within ten (10) days of the registration signature date as indicated on the bottom of the Registration Certificate, Provider will provide a refund in the amount of the Coverage Fees, less any claims paid and less a \$125.00 administration fee.
- If Provider receives Customer's written cancellation notice and returned this Contract more than ten (10) days after the registration signature date, as indicated on the bottom of the Registration Certificate, the pro-rated refund will be based on the lesser of months or hours of unused coverage less any claims paid and less a \$125.00 administration fee. If Provider receives Customer's written cancellation notice and returned this Contract more than thirty (30) days after the registration signature date, as indicated on the bottom of the Registration Certificate, Customer's refund will be reduced a further ten percent (10%).
- No refund is available if coverage is transferred or assigned to a subsequent owner.
- Provider may cancel this Contract without notice for the following reasons:
 - The Coverage Fee for this Contract has not been paid by Customer;
 - The standard factory warranty has been cancelled or voided;
 - Customer has substantially breached Customer's duties relating to the Covered Equipment or its use; or

- Caterpillar or Provider determine that continuing this Contract would result in a violation of Sanctions.
- If there is a material misrepresentation in the Registration Certificate, Provider may void this Contract without written notice and Customer will not be charged the Coverage Fee.
- Provider may cancel this Contract without notice if the condition of an overhaul occurs. In the case of an overhaul occurring, Customer may receive residual Contract value as calculated above and applied to the continuation of coverage under the Overhaul (OVH) ESC Contract for Caterpillar Commercial Engines. The new term of coverage under the OVH ESC program may be selected per available terms if OVH ESC eligibility requirements have been met.

In the event Provider cancels this Contract, Provider will return any pro-rated refund, if applicable, based on the lesser of months or hours of unused coverage, less any claims paid, and less a \$125.00 administration fee.

X. DISCLAIMERS

- Provider responsibilities and Customer remedies under this Contract are limited to the provisions as specified herein.
- Provider disclaims any expressed or implied warranties in connection herewith including any warranty of merchantability or fitness for a particular purpose.
- Provider is not responsible for incidental or consequential damages, except as stated in **Section III. PROVIDER RESPONSIBILITIES.**
- Replacement parts furnished under the terms of this Contract are covered under the applicable replacement parts warranty.
- This Contract does not supersede the Emissions Warranty for emissions-related components.
- Misrepresentation of the Covered Equipment's eligibility for ESC, or the actual accumulated miles, kilometers, hours, fuel burn or age shall result in cancellation of this Contract by Provider or non-payment of a claim, as determined by Provider.
- Provider shall be entitled to all other remedies.

XI. CUSTOMER ASSISTANCE

For the U.S. and Canada, when a problem arises concerning the operation of Customer's Covered Equipment or concerning the service of Customer's Covered Equipment, the problem will normally be managed by the Authorized Dealer in Customer's area.

Customer satisfaction is a primary concern of Caterpillar and Provider's Authorized Dealers. If a problem has not been handled to Customer's complete satisfaction, follow these steps:

- 1) Discuss the problem with a manager from Provider's Authorized Dealer.
- 2) If the problem cannot be resolved at the Authorized Dealer level without additional assistance, contact a service representative with the Contract administrator (Service Representative) at 1-888-614-4328.

Outside the U.S. and Canada, if a problem arises concerning the operation of Customer's Covered Equipment or the service of Customer's Covered Equipment, Customer should contact the nearest Authorized Dealer or Service Representative.

XII. PRIVACY NOTICE

Provider or its Authorized Representative may collect Customer's name, address, phone number, payment information, product data (including geolocation and operational data) and email address ("Personal Data") from Customer to complete and process the Registration Certificate and to administer this Contract.

Provider may collect non-public Personal Data and other data necessary for Customer's Contract coverage from the following sources:

- 1) Information that Provider receives from Customer on registrations, applications or other forms, such as Customer's name, address, assets and income;
- 2) Information about Customer transactions with Provider, Provider's subsidiaries, Provider's affiliates (received only with Customer's express consent), Authorized Representative; and
- 3) Information from a Consumer reporting agency.

Provider processes Personal Data for the following purposes:

- 1) To execute and administer this Contract, including processing of claims;
- 2) To administer additional services requested in conjunction with this Contract;
- 3) To respond to Customer inquiries and provide customer support;
- 4) To enforce Provider's rights in the case of Customer default under this Contract or a breach by Customer of any of its responsibilities or obligations;
- 5) To comply with legal and regulatory obligations;
- 6) To conduct surveys, including through electronic means, to ascertain Customer satisfaction with Provider's coverage and services;
- 7) To contact Customer with details of Customer's existing or expiring coverage; and
- 8) To contact Customer with details of products and services offered by Provider and other parties.

In addition to the purposes outlined above, data may be de-identified, in which case it is no longer Personal Data, and may be processed for other purposes.

In order to process Personal Data, Provider may rely on different legal basis, including:

- 1) The necessity for completion of pre-contractual measures, executing and administering a contract, and exercising Provider's rights thereunder;
- 2) The necessity for Provider to comply with legal obligations;
- 3) The necessity to pursue legitimate interests, including to improve the products and services Provider offers to Customer and to provide Customer with information about the products and services that Provider offers; and
- 4) Customer consent. If Provider relies on Customer consent as a legal basis for processing Customer data, Customer may withdraw consent at any time.

Provider will share Personal Data with third parties, including the Contract administrator, located in the United States of America (U.S.A.), who acts as a data controller and may process Customer Personal Data for any of the above referenced purposes. Customer may obtain additional details on the specific measures the Contract administrator uses to ensure compliance with applicable data protection requirements, and to maintain the security and protection of Customer data, by accessing the Contract administrator's global privacy notice (<https://www.caterpillar.com/dataprivacy>).

The failure to provide Personal Data would in some cases have the consequence that this Contract is not concluded, including:

- 1) Where processing is necessary to the administration of this Contract or the conducting of pre-contractual measures; and
- 2) Where processing is necessary to fulfil Provider's legal and regulatory obligations or to exercise Provider's legal rights.

XIII. PROVIDER

In the United States (U.S.) and its territories of Guam, America Samoa, the Northern Mariana Islands and U.S. Minor Outlying Islands: The Provider of this Contract is Caterpillar Inc.

In Canada excluding Alberta: The Provider of this Contract is the Cat Dealer.

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

In All Other Countries and the U.S. territories of Puerto Rico and the U.S. Virgin Islands: The Provider of this Contract is the Cat Dealer.

XIIIA. NOTICE FOR U.S. CONTRACTS ONLY

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 Contract reimbursement insurance policy.

XIV. ENDORSEMENTS, APPLICABLE TO U.S.A. ISSUED SERVICE CONTRACTS ONLY

In Georgia: Paragraph IX. **TERMINATIONS AND REFUNDS** the subparagraphs Refund and Administration Fee and Cancellation by Provider are replaced by the following:

- **Refund and Administration Fee.** If Customer cancels this Contract, the pro-rated refund will be based upon the lesser of months, miles or hours of unused coverage provided.
- **Cancellation by Provider.** Provider may only cancel this Contract for fraud, material misrepresentation or non-payment. If Provider cancels this Contract, Provider will give written notice of cancellation at least:
 - 1) Ten (10) days before the effective date of cancellation if Provider cancels for non-payment of Coverage Fees; or,
 - 2) Thirty (30) days before the effective date of cancellation if Provider cancels for any other reason. The pro-rated refund will be based upon the lesser of months, miles or hours of unused coverage provided.

In Hawaii: Paragraph IX. **TERMINATIONS AND REFUNDS**, the subparagraph Cancellation by Provider is replaced by the following:

- **Cancellation by Provider.** Upon cancellation of a service contract by the Provider, Provider, at least five (5) days prior to cancellation, shall mail to the contract holder at the contract holder's last known address, a written prior notice of cancellation that states the effective date of the cancellation; provided that prior notice under this subsection shall not be required if cancellation is for:
 - Nonpayment of the Provider's fee for the service provided under the service contract;
 - A material misrepresentation by the contract holder to the Provider; or

- o A substantial breach of duties of the contract holder under the service contract, relating to a covered product or its use.

In Hawaii and Wyoming: Paragraph IX. **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 this Contract delivered at the time of sale and Customer cancels this Contract by returning it to Provider within twenty (20) days of purchase, Customer's refund shall be the Coverage Fees, or between twenty (20) and thirty (30) days of purchase, Customer's refund shall be the Coverage Fees less a \$25.00 administration fee. If Customer cancels this Contract by returning it to Provider after thirty (30) days from purchase, the pro-rated refund will be based on the lesser of months, miles 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. A ten percent (10%) penalty shall be added to the refund if not paid within thirty (30) days from the time this Contract was returned to Provider.

In Wisconsin: Paragraph IX. **TERMINATION AND REFUNDS** the subparagraphs Refund and Administration Fee and Cancellation by Provider are replaced by the following:

- **Refund and Administration Fee.** If Customer cancels this Contract by returning it to Provider within fifteen (15) days after Customer receives this Contract, Customer's refund shall be the Coverage Fees less a \$35.00 administration fee. If Customer cancels this Contract by returning it to Provider after fifteen (15) days from the date Customer receives this Contract, the pro-rated refund will be based on the lesser of months, miles or hours of unused coverage provided less a \$35.00 administration fee. If Provider cancels this Contract, Provider will provide Customer with written notice and Provider will not deduct any claims paid from Customer's refund. A ten percent (10%) penalty shall be added to the refund if not paid within thirty (30) days from the time this Contract was returned to Provider. All other terms and conditions apply.
- **Cancellation by Provider.** Provider may cancel this Contract with written notice to Customer and return to Customer the pro-rated refund based on the lesser of months, miles or hours of unused coverage provided and a \$25.00 administration fee for the following reasons: the Coverage Fee for this Contract has not been paid by Customer, the standard factory warranty has been canceled or voided, or a substantial breach of duties by Customer relating to the Covered Equipment or its use. If there is a material misrepresentation with intent to deceive by Customer in the Registration Certificate, Provider may void this Contract with written notice and Customer will not be charged the Coverage Fee.

XV. COVERED COMPONENTS

Silver and Gold Covered Components: Covered Components under Silver and Gold levels of ESC are listed in the table attached as **Exhibit A**. If a component is not specifically listed in **Exhibit A**, it is not covered under Silver or Gold levels of ESC.

Platinum Level Covered Components: All as-shipped consist from the factory with Caterpillar part numbers, including DOC, when DOC is not part of a DPF, are Covered Components with the exception of the following: DPF and SCR, filters, fluids, vee-belts, hoses, power take-offs, paint, batteries, and clutches.

Platinum Plus Level Coverage Components: All as-shipped consist from the factory with Caterpillar part numbers including DOC (when DOC is not part of a DPF) are Covered Components with the exception of the following: filters, fluids, vee-belts, hoses, power take-offs, paint, batteries and clutches. Platinum Plus also covers additional components with Caterpillar part numbers that are installed by an Authorized Dealer and accepted by the Contract administrator through the Platinum Plus Additional Coverage Component List and Approval Verification form, LEYH0001.

ESC Aftertreatment DPF and/or ESC Aftertreatment SCR component coverage is optional and additional to the base engine coverage and is for the specified system. ESC Aftertreatment DPF and/or ESC Aftertreatment SCR is the same for Silver, Gold, Platinum, and Platinum Plus. If purchased with engine coverage, travel time and mileage extend to these optional Aftertreatment coverages.

Aftertreatment DPF and/or ESC Aftertreatment SCR must be ordered with the engine coverage and will have the same start and end date as the engine coverage.

ESC Aftertreatment DPF Component Coverage is for the original as-shipped consist, which includes the DPF / DOC and housing, radio frequency antennas, back pressure sensors, regeneration system and DPF-related electronic components, but excludes consumable and normal wear items (e.g., clamps, catalyst and filter substrate), and filter cleaning.

ESC Aftertreatment SCR Component Coverage is for the original as-shipped consist, which includes the SCR catalyst, AMOX catalysts, reactor housing, mixing pipe, Urea-based diesel emission fluid injection system hoses, nozzle or injector, pump, tank, NOx sensor, sensors and SCR-related electronic components, but excludes consumable and normal wear items (e.g., fluids, clamps, catalyst substrate).

It is the responsibility of the Authorized Dealer to provide the following documents to Caterpillar:

- 1) A copy of the ESC Registration Certificate; and
- 2) The approval list of Caterpillar components, complete with the Caterpillar part numbers.

These documents will become part of the permanent history of the Covered Equipment.

XVI. ADDITIONAL COVERAGE

Travel Time & Mileage Limitations, per claim, where applicable by industry and coverage:

Displacement	Silver, Gold & Platinum	Platinum Plus
4 liters or less	Up to 2 hours and 100 miles / 162 kilometers travel allowance	Up to 2 hours and 100 miles / 162 kilometers travel allowance
Greater than 4 liters and up to 7.5 liters	Up to 4 hours and 200 miles / 325 kilometers travel allowance	Up to 10 hours and 500 miles / 802 kilometers travel allowance
Greater than 7.5 liters	Up to 8 hours and 320 miles / 515 kilometers travel allowance	

Emergency Freight:

Emergency freight reimbursement up to \$500.00 is available with all levels of ESC when a dealer is unable to obtain the Covered Component replacement part(s) required to complete a repair through the normal regional distribution channel.

The following items are included as additional coverage under Platinum Plus level ESC only, subject to the limitations outlined herein.

Remote Troubleshooting:

Remote Troubleshooting Fees, up to a maximum of \$50.00 per claim, will be covered under Platinum Plus coverage only when a failed component is identified and repaired as part of the report.

Additional Disconnect and Connect Allowance:

Industrial engines registered in Platinum Plus level ESC, will receive up to a maximum of \$1,500.00 additional allowance for labor to remove and reinstall Covered Components from the Covered Equipment, mounting and support systems, subject to the review and agreement by the Contract administrator, in its sole discretion, of the reasonableness of the additional labor Costs. This additional labor allowance may be applied to OEM components, which are required to be removed and reinstalled to complete the covered repair. This allowance supersedes **Section IV. CUSTOMER RESPONSIBILITIES** regarding removal and reinstallation.

Overtime Allowance:

For Covered Equipment registered in Platinum Plus level coverage up to \$3,000.00 in overtime labor may be claimed for the incremental Cost of performing the repair outside of normal business hours, subject to the review and agreement by the Contract administrator, in its sole discretion, of the plausibility that the work could not be done within normal business hours. Incremental labor Cost hours must be in consecutive shifts to standard labor hours. This allowance modifies **Section III. PROVIDER RESPONSIBILITIES**, regarding repairs being done during normal business hours. This allowance is payable when it is not reasonably practical for the covered repair to be completed during normal business hours. Refer to industry addendum for incremental Costs reimbursement allowed.

XVII. EXTENDED SERVICE COVERAGE CONDITIONS

New ESC Eligibility Requirements:

For Covered Equipment with or without a known Delivery Date, the eligibility period ends on the last day of the standard factory warranty period. A late fee is added to units registered more than three hundred sixty-five (365) days after the Delivery Date recorded in the Caterpillar warranty system.

New ESC Hours of Use Limits:

In addition to the general hour limits described below, certain other factors may limit the maximum hours of use during the Coverage Period. These factors include, but are not limited to, fuel quality, altitude of operation, and other conditions of application severity.

Covered Equipment in all applications shall not exceed the following limits based on engine displacement:

Hours	Displacement
6,000	Less than 4 liters
8,000	Equal to or greater than 4 liters and less than 7.5 liters
10,000	Equal to or greater than 7.5 liters and less than 22 liters
15,000	Equal to or greater than 22 liters and less than 34 liters
25,000	Equal to or greater than 34 liters

New ESC Years of Coverage Period Limits:

New ESC shall not extend beyond sixty (60) months from the Delivery Date of the Covered Equipment.

Advantage ESC Eligibility Requirements:

Industrial Advantage ESC and Usage Eligibility Requirements are:

- 1) **Age of unit limit:** Covered Equipment is not eligible for Advantage ESC beyond ten years from Covered Equipment's Delivery Date. The Coverage Period of Advantage ESC shall not exceed sixty (60) months.
- 2) **Hours of use limit:** The total number of hours of use since new cannot exceed the following hour limits at the end of the Coverage Period. These limits are based on engine displacement:

Hours	Displacement
6,000	Less than 4 liters
8,000	Equal to or greater than 4 liters and less than 7.5 liters
10,000	Equal to or greater than 7.5 liters and less than 22 liters
15,000	Equal to or greater than 22 liters and less than 34 liters
25,000	Equal to or greater than 34 liters

- 3) **Advantage Certification Inspection Form:** Coverage is contingent on a duly completed Advantage Certification Inspection Form LEEH8646. An inspection is required on all Industrial Advantage ESC engine registrations. The Authorized Dealer shall upload the Advantage Certification Inspection in the Caterpillar warranty system.

IMPORTANT NOTICE: All Covered Components must pass inspection or be replaced at the proper intervals as prescribed by the Manufacturer's OMM by an Authorized Dealer to qualify for continued coverage under this Contract.

Customer's failure to follow the Manufacturer's OMM may result in denial of claims.

"THIS WARRANTY IS SUBJECT TO LIMITED REGULATION BY THE OFFICE OF THE COMMISSIONER OF INSURANCE."

Exhibit A
ENGINE COMPONENT ESC MATRIX
January 1, 2021

Coverage Items	Silver	Gold	Coverage Items	Silver	Gold
COOLING SYSTEM			AIR INDUCTION & EXHAUST		
Thermostat Housing	Yes	Yes	Exhaust Manifolds, Studs & Gaskets	Yes	Yes
Water Manifold Housing	Yes	Yes	Inlet Air Heater Relay	Yes	Yes
Jacket Water Pre-cooler	Yes	Yes	Intake Manifold	Yes	Yes
Jacket Water Pump	No	Yes	Turbocharger (including mounting hardware, lines, wastegate)	No	Yes
FUEL SYSTEM			SHORT BLOCK		
Steel and Stainless-Steel Fuel Lines	Yes	Yes	Cylinder Block Casting	Yes	Yes
Fuel Shutoff Solenoid (diesel only)	Yes	Yes	Freeze Plugs	Yes	Yes
Fuel Injectors (diesel only)	No	Yes	Crankshaft	Yes	Yes
Spark Plug Extension (gas only)	Yes	Yes	Crankshaft Rod, Main & Thrust Bearings	Yes	Yes
Ignition Transformer (gas only)	Yes	Yes	Connecting Rod Assembly	Yes	Yes
Throttle (gas only)	Yes	Yes	Piston, Wrist Pin, Retainer Clip & Piston Rings	Yes	Yes
LUBRICATION SYSTEM			Piston Cooling Jet Tubes	Yes	Yes
Oil Pan	Yes	Yes	Cylinder Liner, Seals & Filler Band	Yes	Yes
Engine Oil Pump	Yes	Yes	Main Bearing Cap Bolts	Yes	Yes
Oil Cooler Housing & Core/Bonnet	Yes	Yes	CYLINDER HEAD		
Oil Filter Base	Yes	Yes	Cylinder Head Casting, Sleeves, Bolts & Gaskets	Yes	Yes
ELECTRICAL SYSTEM			Freeze Plug	Yes	Yes
ITSM (gas only)	Yes	Yes	Spacer Plate & Spacer Plate Gasket	Yes	Yes
Control Module (ECM)	Yes	Yes	Intake & Exhaust Valve (all related parts)	Yes	Yes
Sensors: All Engine Sensors	Yes	Yes	Roller Follower	Yes	Yes
FRONT & REAR COVERS			Valve Mechanism, Rocker Arm, Brackets, Push Tube	Yes	Yes
Front Covers / Plate / Housing / Gears & Gaskets	Yes	Yes	Bridge Dowels, Adjusting Screws, Nuts & Shaft	Yes	Yes
Vibration Damper	Yes	Yes	Valve Cover & Base	Yes	Yes
Flywheel Housing & Gasket	Yes	Yes	Camshaft, Camshaft Bearings, Key, Gear	Yes	Yes
ALTERNATOR END (where applicable)			Camshaft Rear Cover / Seal	Yes	Yes
Alternator (including rotor, stator, exciter, bearings & coupling)	Yes	Yes	MISCELLANEOUS		
Generator Controls (including EMCP, Operator Interface Mounted on Generator)	No	Yes	Cat Bolts Attaching Covered Components	Yes	Yes
Power Center (including Circuit Breakers, Voltage Regulators, Bus Bar)	No	Yes			

Note: Components not specifically listed in the coverage matrix are not covered under Silver or Gold level ESC.

Note: Platinum and Platinum Plus coverages are defined in Section XV. COVERED COMPONENTS.

Distribution: Original Customer Copy ___ CAT Dealer Copy ___

LEEH6232-20
 Supersedes LEEH6232-19
 January 1, 2021

Advantage ESC Certification Inspection Worksheet
For Used Cat® Engines for Industrial Applications
Effective Date: January 1, 2024

See page 4 for conditions under which an Advantage Inspection is NOT required.

INSPECTING DEALER INFORMATION

Inspecting Dealer: _____ Dealer Code: _____
Address: _____ City: _____
State/Province: _____ Postal Code: _____ Country: _____

INSPECTED ENGINE INFORMATION

CAT ENGINE SERIAL NUMBER: _____ *INSPECTION DATE: _____
ENGINE SALES MODEL: _____ APPLICATION (must choose one):
ORIGINAL DELIVERY DATE: _____ AGRICULTURE:
CURRENT ENGINE HOURS: SMU: _____ *ECM: _____ MATERIAL HANDLING:
ADVANTAGE START DATE**: _____ MINING:
ADVANTAGE START HOURS: SMU: _____ *ECM: _____ OTHER:
MACHINE/VEHICLE MANUFACTURER: _____ IF OTHER, PLEASE DESCRIBE:
MACHINE/VEHICLE MODEL: _____
MACHINE/VEHICLE MODEL YEAR: _____

*INSPECTION DATE is the date of the last day of inspection process

**Advantage start date is the INSPECTION DATE, except where delayed coverage start is selected.

DEALERSHIP AND CUSTOMER ACKNOWLEDGEMENTS

INSPECTING DEALERSHIP ACKNOWLEDGEMENT: I hereby certify that the appropriate certification procedure as specified in this form has been completed and the engine is eligible for the Advantage program. Only genuine Cat new or REMAN components were used during the repairs listed in the checklist portion of this worksheet. As an authorized Cat dealer, I have read and understand authorized Cat dealer's responsibilities with regard to the administration of Extended Service Coverage ("ESC") programs as found in the Global Dealer Administration Manual.

I also acknowledge the following:

- 1) All operating controls function per manufacturer's specifications.
- 2) All safety devices function per manufacturer's specifications.
- 3) Comments made on this form describe the condition of the equipment.
- 4) Provide at least four digital photos representing the condition of the unit are uploaded into SIMSi.
- 5) The completed inspection form and other test data required in the checklist must be uploaded into SIMSi prior to submitting the registration.

Name of lead technician in charge of this inspection: _____
Dealership Service Manager Name (clearly printed): _____
Dealership Service Manager Signature: _____ Date: _____

CUSTOMER ACKNOWLEDGEMENT: I acknowledge that the dealership has explained this Inspection Certificate to me. All problems discovered by this inspection have been repaired or replaced prior to the start of Advantage ESC and have been explained to me. The dealer has given me a copy of the Inspection Certificate Worksheet.

Customer Signature: _____ Date: _____

INSPECTION PROCESS, COMMENTS AND REPAIR CHECKLIST

Check
When
Passed

ITEM, COMPONENT OR PROCESS

EXPLAIN ACTION TAKEN / COMMENTS REQUIRED ON EVERY LINE!!

Visual/Walk Around & Records Review:

- Walk around unit and clean up as needed.
- Review records to ensure all required maintenance items are current for age and use.
- Ladders and fire equipment present? Quantity?
- Safety jacks present? Quantity?
- Operational inspection of frequency and voltage.
- Operational test of radiator louvers / vents - clear obstructions.
- Operation inspection of control panel meters.
- Document any excessive noise in engine.
- Review "as-shipped" consist and identify designed to order components. List them here.
- Check for obsolete components no longer serviced to be excluded from coverage, unless upgrades are completed.
- Check SIMS and perform any PIPs or PSPs not completed.
- Are Operation & Maintenance Manuals present?
- Are noise attenuation / insulation materials secure?
- Is container / enclosure intact?

Cooling System:

- Document overall condition of radiator/heat exchanger.
- Perform lab test of coolant & upload results in SIMSi.
- Check and document entire cooling system for leaks.
- Head gasket (must not leak to pass).
- Jacket Water Pump (must not leak to pass).
- Separate circuit after cooler pump (must not leak to pass).
- Thermostatic valve (must work & not leak to pass).
- Thermostat housing (must not leak to pass).
- Perform bottle test (list volume / minimum).

Fuel System:

- Ensure Gas Fuel Regulator / Throttle function properly.
- Check fuel tank level alarms and shutdowns.
- Check all fuel lines for cracks, leaks, liability, support.
- Fuel transfer pump (must not leak to pass).
- All fuel supply return lines (must not leak to pass).
- Hand priming pump (must not leak to pass).
- Filter base(s) (must not leak to pass).
- Document fuel pressure at idle and rated RPM: _____ Idle RPM Fuel PSI: _____ Rated RPM Fuel PSI: _____

Verify fuel settings as set from factory or as noted in SIMS: _____

Lubrication Systems: LEAKS IN THESE AREAS MUST BE FIXED TO PASS INSPECTION!!!

- Document oil PSI after doing PM1 service below. _____ Idle RPM Oil PSI: _____ Rated RPM Oil PSI: _____
- Head to block joint (& spacer plate if applicable).
- Front / rear crank seals.
- Front cover and flywheel housing.
- All major castings (head, block, oil pan, etc.)
- Oil Cooler
- Turbocharger
- Measure and record blowby and correct as needed if not in spec.
- Service & check crankcase breather with engine running.

Engine Serial #: _____

INSPECTION PROCESS, COMMENTS AND REPAIR CHECKLIST - continued

Check
When
Passed

ITEM, COMPONENT OR PROCESS

EXPLAIN ACTION TAKEN / COMMENTS REQUIRED ON EVERY LINE!!

Electronics & Starting Systems:

Use service tool to check FLS / FTS settings. FLS: _____ FTS: _____ Notes: _____

Perform cylinder cutout test with electronic service tool. _____

Record version of flash file and update as needed. _____

Perform cylinder cutout test with electronic service tool. _____

Check battery, terminals, connections & cable. _____

Check battery cells' specific gravity, adjust as needed. _____

Record alternator charge rate at idle and rated RPM. _____ @ idle _____ @ rated

Intake & Exhaust Systems:

Check/repair air intake pipes, air filter & restriction gauge. _____

Measure and record valve recession/ perform valve lash if due per O&M. _____

Check and repair exhaust cracks, leaks or smoke w/engine running. _____

Check exhaust manifold for oil or fuel slobbering. _____

Check/repair exhaust manifold if any broken hardware. _____

Inspect turbo for excessive end play clearance. _____

Inspect turbo for any air leaks at seal. _____

Ensure waste gate functions properly. _____

Customer Signature Acknowledging Results: _____

Engine Serial #: _____

INSPECTION PROCESS, COMMENTS AND REPAIR CHECKLIST - continued

Advantage inspection is NOT required if the covered product meets the following conditions at the time of registration or coverage upgrade/continuation:

- Currently enrolled in a New ESC
- Coverage level remains the same when moving from New ESC to ADV ESC

If Advantage Inspection is not required, please complete pages 1 and 4 and attach to Quote Plus as the Inspection Document.

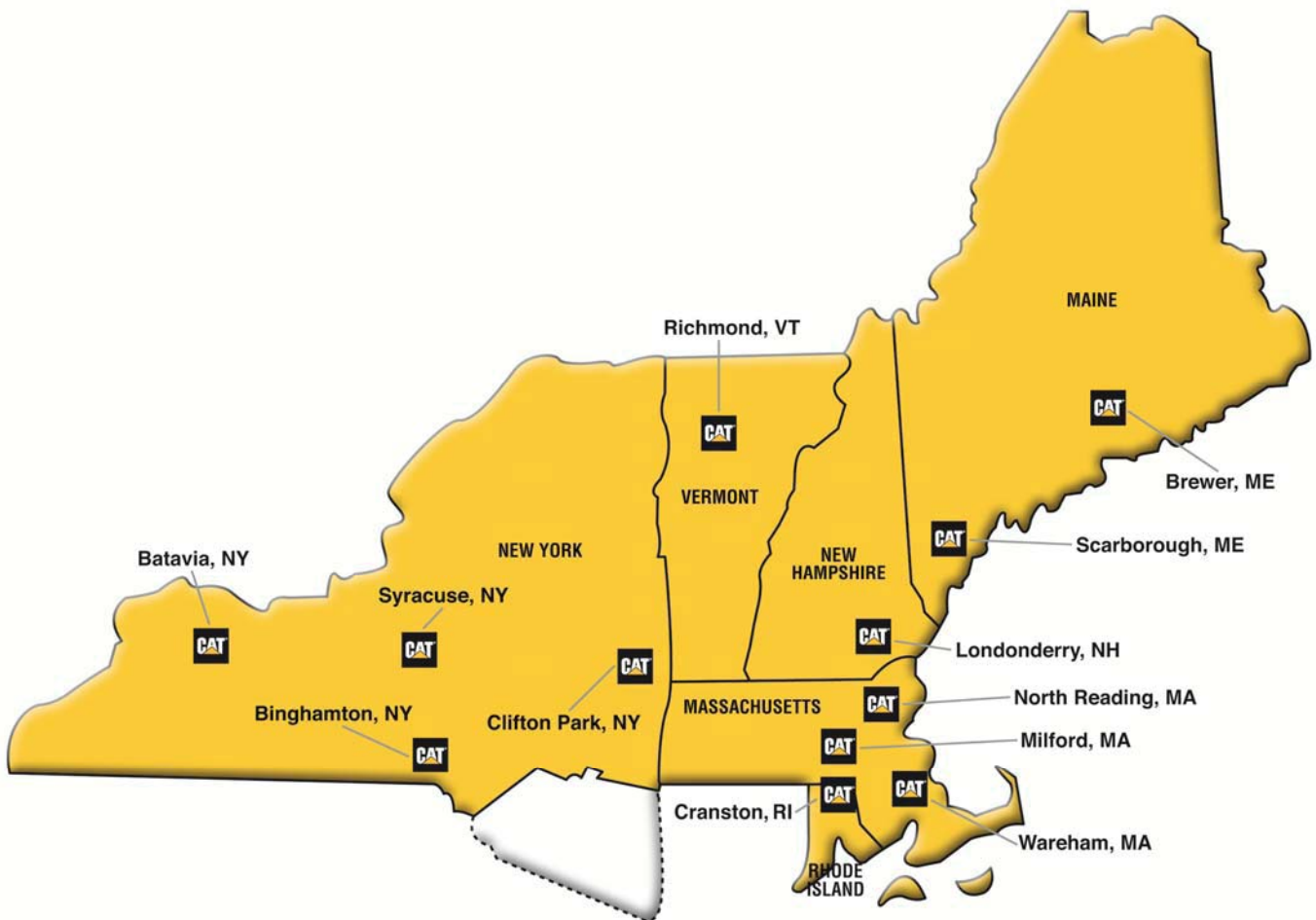
Engine Serial #: _____

Please refer to
the Quote Plus

<https://epp.cat.com>

or applicable
price tables for
ESC pricing.

Multiple Locations to Serve You Better



Milton

