

COVERED COMPONENTS

PREMIER
POWERTRAIN+HYDRAULICS
POWERTRAIN

PREMIER
Our most comprehensive coverage option, Premier coverage includes Powertrain+Hydraulics components, as well as additional electrical and structural components.

Engine & Accessories

Engine - Internal Components	■■■
Oil Cooler	■■■
Radiator	■
Exhaust / Muffler	■
Manifolds	■■■
Fan Motor	■■■
Water Pump	■■■
Fuel Injection Pumps	■■■
Injectors	■■■
Lift / Transfer Pump	■■■
Senders / Solenoids / Sensors	■■■
Thermostat	■■■
Flywheel & Torque Converter	■■■
Engine Oil Filter Mount	■■■
Turbocharger	■■■
Starter	■
Alternator	■
AC Compressor / Condenser	■
Electronic Control Modules	■■■
Governor / Speed Controls & Linkages	■
Fuel Lines	■
Fuel Tank & Assoc. Parts	■
Water Piping	■
Oil Hoses / Lines (non-hydrostatic)	■
Cylinder Block	■■■
Piston	■■■
Piston Rings	■■■
Piston & Connecting Rod	■■■
Crankshaft, Main Bearings & Rod	■■■
Bearings	■■■
Camshaft & Camshaft Bearings	■■■
Timing / Accessory Gears	■■■
Timing Chain / Belt	■■■
Cylinder Head	■■■
Inlet / Exhaust Valve	■■■
Valve Cover & Base	■■■
Valve Spring & Guide	■■■
Rocker Arm	■■■

Engine & Accessories (Continues)

Rocker Shaft Assembly	■■■
Push Rod	■■■
Balancer	■■■
Fuel Pump / Governor Drive	■■■
Oil Pump	■■■
Oil Pan Group	■■■
Fan & Fan Drive	■■■

Transmission

Transmissions	■■■
Transmission Oil Lines	■■■
Hydraulic Controls	■■■
Transmission Oil Filter Base	■■■
Transmission Gears	■■■
Final Drives / Planetary	■■■
Drive Shafts	■■■
Transfer Case	■■■
Wet Brake Assemblies	■
Hydrostatic Pumps & Drive Motors	■■■
Linkage / lines Connected to Hystat Pump	■■■
Drive (pilot / eh) Control Valves	■■■
Senders / Sensors	■
Powertrain Transmission Lines / Hoses	■■■
Transmission Oil Tank	■■■
Drive Train Oil Lines	■■■
Bevel and Transfer Case	■■■

Drive Line/Drive Axle

Axles	■■■
Axle Seals	■■■
Final Drive & Wheel	■■■
Final Drive Case / Bore	■■■
Final Drive Chain	■■■
Final Drive Gears	■■■
Axle Shaft	■■■
Drive Axle Oil Pump	■■■
Universal Joint	■■■

POWERTRAIN+HYDRAULICS
Coverage includes powertrain components, as well as specified hydraulic system parts and components. Hydraulic components are associated with steering and implement control.

Steering

Steering Clutch	■■■
Steering Clutch & Brake Control Valve	■■■
Steering Gear & Valve	■■■
Power Steering Logic Module	■
Steering Linkage	■
Steering Column	■
Steering Console	■
Tie Rod	■

Hydraulic Systems

Hydraulic / Steering Hoses & Lines	■■■
Hydraulic Cylinders	■■■
Hydraulic Valves & Controls	■■■
Hydraulic Accumulators	■■■
Hydraulic Oil Coolers	■■■
Hoses and Lines	■■■
Hydraulic Swivels	■■■
Hydraulic Oil Filter Mount	■■■
Hydraulic Oil Temperature Sensor	■■■
Hydraulic Oil Filter Base	■■■
Hydraulic Tanks	■■■

Suspension

Automatic Grade Control	■
Axle Spring	■
Bogie Suspension	■
Cross Slope Control	■
Equalizer Bar	■
Equalizer Bar Center Pin Support	■
Equalizer Bar Support	■
Stabilizer	■
Suspension Control	■
Suspension Control Valve	■
Suspension Cylinder	■

POWERTRAIN
Powertrain components produce, transmit or control engine horsepower for moving the machine. Coverage includes several major powertrain component categories.

Braking System

Brake Master Cylinder	■
Vacuum Pump	■
Wheel Cylinder	■
Brake Caliper, Head Assembly	■
Control Valves	■
Brake Lines	■
Accumulator	■

Electrical & Interior

Gauges/Indicators/Instruments	■
Wiring harnesses	■
Switches	■
Relays / Circuit breakers	■
Generator	■
Alternator / Generator Battery Charger	■
Main Power Relay	■
Start Switch	■
Fuse / Circuit Breaker Panel	■
Circuit Board	■

Frames & Linkages

Chassis / Implement Frames	■
Weldment	■
Carbody	■
Main Frame	■

Undercarriage

Track Roller Frame	■
Track Adjuster	■
Recoil Spring	■

EQUIPMENT PROTECTION PLAN: EXCLUSIONS

If a component is not listed, it may not be included in the plan. Other exclusions include:

- > Improper or abusive use of the machine
- > Lubricating oil, antifreeze, filters, consumables and other maintenance items replaced during the covered component repair, unless such items are rendered unusable by a covered component failure
- > Failures caused by normal wear-out
- > Freight charges for parts shipments
- > Travel time and mileage involved in getting to a job site
- > Hauling costs and / or retrieval costs
- > Overtime labor costs
- > Repair costs resulting from the failure of any non-covered components
- > Downtime loss
- > Equipment rental charges
- > Any incidental/consequential damages or costs incurred as a result of a covered component failure.
- > Modifications unless approved by Caterpillar

Examples of covered and excluded components or items are listed here. The actual dealer contract will govern. For a complete list of included components and more information on Cat Equipment Protection Plans, visit us today.

Equipment Protection Plan Registration and Information Certificate

I. INTRODUCTION

This Equipment Protection Plan is designed specifically for Cat machines and is an important part of Caterpillar's continuing effort to provide superior value and product support.

II. TERMS AND CONDITIONS

The Equipment Protection Plans provide 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 Caterpillar material or factory workmanship. Coverage is subject to the applicable exclusions listed under Section VII., Exclusions and Limitations.

The Registration & Information Certificate must be completed in its entirety at the date of registration. Coverage 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 Equipment Protection Plan coverage requested after the original purchase date. "You" must contact an "authorized dealer" for complete details.

III. DEFINITIONS

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

"Caterpillar region" means Asia Pacific Division (APD), Europe, Africa, Middle East, and Commonwealth of Independent States (EAME/CIS), Americas South or Americas North. (See your Caterpillar Rep for questions regarding specific countries included within each region.)

"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 Machine Coverage Options. Replacement parts will be genuine manufacturer's parts when performing repairs and may include new, remanufactured or repaired components.

"Coverage period" means the period that commences with the delivery date as shown on the Registration & Information Certificate and expires when time, or service meter hours, whichever occurs first, exceeds the coverage limits as specified on the Registration & Information Certificate.

"Covered component" means the components listed and identified for the appropriate "coverage type". ([Dealer will provide list of covered components for selected "coverage type".](#))

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

"Coverage type" means the type of coverage applicable as selected by "you" and identified on page 1 of the Registration & Information Certificate. "Coverage Type" is either one or a combination of Powertrain, Powertrain + Hydraulics, or Premier Machine coverage. ([Dealer will provide list of covered components for selected "coverage type".](#))

"Deductible" means the amount that you must pay for breakdown(s) of "covered equipment", if applicable.

"Mechanical breakdown" means the failure of any original or like replacement part covered by this Agreement to work as it was designed to work in normal service, providing it has received customary maintenance as recommended by the manufacturer in the "Operation and Maintenance Manual" for the product.

"Repairer(s)" means a business entity "we" have authorized as a repair facility or "authorized dealer".

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

"We," "us," and "our" mean the provider issuing this Registration & Information Certificate.

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

IV. OUR RESPONSIBILITIES

"We" will pay the "cost", less any applicable deductible, to repair, replace or service the "covered equipment" 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 component that is rendered unserviceable by a "covered component" failure.

"We" will restore the "covered equipment" to its operating condition prior to the "mechanical breakdown" by repairing and / or replacing only the required "covered components" and consequentially damaged components necessary to facilitate the repair. "We" will pay the reasonable labor to disconnect the "covered equipment" 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 "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 and maintain the "covered equipment" according to the guidelines and recommendations as specified in the appropriate Operation & Maintenance Manual, including all recommended preventative maintenance performance, at the specified service intervals. Preventative maintenance includes, but is not limited to, the servicing, adjusting, and / or replacing specified components.

"You" may have to provide proof of compliance with preventative maintenance guidelines at the time of the covered components' failure under the program. Proof can include receipts or copies of work order or invoices detailing the maintenance or services performed.

All Global Regions S•O•SSM Fluid Analysis Test Results

S•O•S is not a requirement of the Equipment Protection Plan program, however it is recommended that at the point of enrollment, S•O•S sampling begin at the first recommended interval and continue throughout the remainder of the Equipment Protection Plan coverage term.

"You" are responsible for all "costs" not covered as specified in Section VIII, Exclusions and Limitations.

VI. CLAIM PROCEDURES

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

1. Take all reasonable steps to protect and safeguard the "covered equipment".
2. Report the "mechanical breakdown" promptly to "us" or a "repairer".
3. Promptly make the "covered equipment" available to a "repairer" for repair and examination. If requested, provide proof of registration by presenting the customer copy of the Registration & Information Certificate.
4. If requested, 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 the denial of coverage.
5. Furnish "us" or a "repairer" with such information as may be reasonably required to assess the "mechanical breakdown".

VII. GENERAL EXCLUSIONS AND LIMITATIONS

Equipment Protection Plan does not cover the following:

- Operator abuse, neglect, improper or abusive use of the machine including but not limited to the failure to perform the recommended preventative maintenance as specified in the Operation and Maintenance Manual.
- Applications not approved by Caterpillar.
- Improper or abusive use of machine.
- Operation beyond the design and/or capacity of the machine.
- Wear-out and normal deterioration in performance, accelerated wear-out of components due to operating technique or application; including but not limited to oil consumption and gasket or seal leaks.
- Chemical corrosion and physical or mechanical erosion
- Unauthorized fuel setting changes.
- Acts of war, vandalism, riot, theft, explosion, collision, fire and/or any other act of nature, person or vermin.
- Operating equipment with improper, contaminated, or improper levels of fuel or fluids, or the use of improper filters.
- Modifications, unless the modifications were authorized at the request of Caterpillar and performed at an approved repair facility.
- Operating at performance settings other than the standard Caterpillar specification.
- Accelerated wear-out of components due to operating technique or application.
- Physical damage.
- Any repairs if the service meter has been stopped or altered or misrepresents the equipment's actual usage.
- Mechanical transportation or towing costs or field service travel expenses.
- Loss of time, inconvenience, downtime or downtime-related expenses or other incidental or consequential loss that results from a defect in material or workmanship.

- Any costs incurred to improve operating performance due to normal wear and tear
- Storage or miscellaneous shop supplies
- Mechanical Breakdown resulting from failure of a non-covered component.
- Freight and taxes.
- Any cost covered by any warranty of the manufacturer including emissions warranty or repairer's guarantee regardless of whether the warranty or repairer's guarantee is honored.
- Performance complaints including, but not limited to, adjustments to fuel settings or electronic unit injectors to comply with emissions standards under Environmental Protection Agency or similar national, federal, provincial or state law.
- Any costs incurred for the manufacturer to comply with emissions standards under the Environmental Protection Agency or similar national, federal, provincial or state law.
- Failure to use fuels and lubricants that meet or exceed the minimum specification requirements of the manufacturer as specified in the operations manual or other technical bulletins.

VIII. TRANSFER OR ASSIGNMENT OF COVERAGE

Within the "Caterpillar region" the remaining coverage term of the Equipment Protection Plan may be transferred or assigned to subsequent owners during the "coverage period" at no extra charge. "We" reserve the right to require approval of the transfer or assignment of coverage.

IX. TERMINATIONS AND REFUNDS

Cancellation by "you":

"You" may cancel the Equipment Protection Plan by providing written notice to "us" of "your" intent to cancel. Cancellation will be effective on the date "we" receive the cancellation notice. If coverage is cancelled in writing, the refund will be the pro rata refund based on the remaining terms of coverage.

Cancellation by "us":

We may cancel this Contract for fraud, material misrepresentation, or non-payment. If "we" cancel this contract, "we" will give written notice of cancellation at least:

- 10 days before the effective date of cancellation if we cancel for non-payment of coverage fees; or
- 30 days before the effective date of cancellation if "we" cancel for any other reason.

X. DISCLAIMERS

OUR RESPONSIBILITIES AND YOUR REMEDIES UNDER THE EQUIPMENT PROTECTION PLAN ARE LIMITED TO THE PROVISION OF MATERIALS AND LABOR AS SPECIFIED HEREIN.

WE DISCLAIM ANY EXPRESS 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 THE EQUIPMENT PROTECTION PLAN ARE COVERED UNDER THE APPLICABLE REPLACEMENTS PARTS WARRANTY.

THE EQUIPMENT PROTECTION PLAN DOES NOT SUPERCEDE THE EMISSION WARRANTY FOR EMISSION RELATED COMPONENTS.

MISREPRESENTATION OF THE COVERED EQUIPMENT'S ELIGIBILITY FOR COVERAGE, OR THE ACTUAL ACCUMULATED HOURS OR AGE SHALL RESULT IN CANCELLATION OF THE EQUIPMENT PROTECTION PLAN BY US. WE SHALL BE ENTITLED TO ALL OTHER REMEDIES.

XI. EMISSIONS

Emissions Components

In some regions, components may qualify for Emissions Warranty such as in accordance with the United States Environmental Protection Agency (US EPA) and the California Air Resources Board (ARB). Warranty Bulletin 3.14 explains the details and reimbursements of emissions warranty and the claiming procedures for emissions components. Emissions components that are within the terms of emissions warranty must follow claiming procedures outlined in Warranty Bulletin 3.14.

- Bulletin 3.14 contains the list of components that are eligible for Emissions Warranty. Unless otherwise specified, upon expiration of the emissions warranty, these emissions components are included in Powertrain Equipment Protection Plan and covered against defects in material and workmanship. Powertrain Equipment Protection Plan cover external lines, hoses and wiring harnesses when part of the Caterpillar Clean Emissions Module (CEM.)
- Emissions components that are included in Powertrain Equipment Protection Plan coverage but are beyond the terms of Emissions Warranty may be claimed according to the normal Equipment Protection Plan guidelines outlined in this Equipment Protection Plan bulletin for the remainder of the Equipment Protection Plan term.

XII. REIMBURSEMENT INSURANCE POLICY, APPLICABLE TO U.S.A. ISSUED CONTRACTS ONLY

For claims originating and submitted in the U.S. A., obligations of the Provider under this Service Contract are guaranteed under a Service Contract "Reimbursement Insurance Policy." If the Provider fails to pay or provide service on a claim within sixty (60) days after proof of loss has been filed, "you" are entitled to make a claim directly against the Service Contract Insurer under the Service Contract Reimbursement Insurance Policy. If the Provider's Registration is suspended, revoked or terminated by applicable regulatory authority for any reason, you are entitled to make a claim directly against the Service Contract Insurer under the Service Contract Reimbursement Insurance Policy without waiting sixty (60) days.

Service Contract Insurer:
Caterpillar Insurance Company
2120 West End Avenue
Nashville, Tennessee 37203

Service Contract Claim Telephone Number: 18002484228.

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

In Georgia: Paragraph IX. Terminations and Refunds the subparagraphs Cancellation by You and Cancellation by Us are replaced by the following:

- Refund and Administration Fee. If "you" cancel this Service Contract, the prorated refund will be based upon the lesser of months, miles/ km or hours of unused coverage provided.
- Cancellation by Us. We may only cancel this contract for fraud, material misrepresentation or nonpayment.

If "we" cancel this 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 / km or hours of unused coverage provided.

In Hawaii: Paragraph IX. Termination 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 prorated refund based on the lesser of months or hours of unused coverage provided less any claims paid and a \$50.00 administration fee with out notice for nonpayment of the Coverage Fee, material misrepresentation or substantial breach of "your" duties relating to "covered equipment" and with five (5) days prior written notice of cancellation that states the effective date of cancellation for any other reason.

In Hawaii and Wyoming: Paragraph IX. Termination and Refunds, the subparagraph Cancellation by You 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 prorated refund will be based on the lesser of months 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 Wisconsin: Paragraph IX. Termination and Refunds the subparagraphs Cancellation by You and Cancellation by Us are replaced by the following:

- Refund and Administrative Fee. If "you" cancel this Service Contract by returning it to "us" within fifteen (15) days after "you" receive this Service Contract, "your" refund shall be the Coverage Fees less a \$50.00 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 fifteen (15) days from the date "you" receive the Service Contract, the prorated refund will be based on the lesser of months or hours of unused coverage provided less a \$35.00 administration fee. If "we" cancel this Service Contract, "we" will provide "you" with written notice and "we" will not deduct any claims paid from "your" refund. All other terms and conditions apply.
- Cancellation by Us. "We" may cancel this Service Contract with written notice to "you" and return to "you" the prorated refund based on the lesser of months, miles / km or hours of unused coverage provided and a \$25.00 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 equipment" or its use. If there is a material misrepresentation with intent to deceive by "you" in the Service Contract Registration, "we" may void this Service Contract with written notice and "you" will not be charged the Coverage Fee.

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

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