



ADVANTAGE ON-HIGHWAY VEHICLE ENGINES

Advantage Coverage for Used On-Highway Vehicle Engines Registration Certificate For Contracts Issued In The U. S. A. and Canada (Program Effective Date October 1, 2004)

CUSTOMER NAME _____ PH _____

ADDRESS _____

CITY _____ ST / PROV _____ ZIP / PST CD _____

CATERPILLAR DEALER _____ PH _____

ADDRESS _____

CITY _____ ST / PROV _____ ZIP / PST CD _____ DLR CODE _____

TEPS DEALER _____ PH _____

ADDRESS _____

CITY _____ ST / PROV _____ ZIP / PST CD _____ TEPS DLR CODE _____

PROVIDER: Caterpillar Product Services Corporation (CPSC), 2120 West End Avenue, Nashville, TN 37203; Telephone Number 800-248-4228

TYPE OF REGISTRATION

New Registration

Replacement Engine

Used Engine Awaiting Resale

Transfer Ownership

Start Miles _____
mm/dd/yyyy

Transfer Miles _____
mm/dd/yyyy

Start Date _____
mm/dd/yyyy

Transfer Date _____

Original Delivery Date _____

Replacement Engine S/N _____

Original Engine S/N _____

Engine Sales Model _____

Engine Sales Model _____

HP _____ VIN _____

Vehicle Make / Model _____

COVERAGE (Reference On-Highway Vehicle Engine Price Matrix for model / coverage availability.)

Heavy Duty Medium Duty

Advantage Advantage Coverage Months _____ Coverage Miles _____ Deductible \$ _____

Advantage Plus

COVERAGE FEES

Advantage Fee U.S. \$ _____

Administrative Fee U.S. \$ _____

Late Fee U.S. \$ _____

Sales, Applicable Taxes* U.S. \$ _____

TOTAL FEE U.S. \$ _____

*Refer to LEEQ3464 for applicability.

IMPORTANT!

Advantage Inspection Certification Worksheet must be completed prior to enrollment into the Advantage Program.

LIMIT OF LIABILITY:

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

I hereby certify that I have read and understand the terms and conditions checked above, and as specified on the back of this Registration Certificate.

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

Customer Signature _____ Date mm/dd/yyyy _____

Authorized Dealer Representative _____ Date mm/dd/yyyy _____

I. INTRODUCTION

This Extended Service Coverage, herein referred to as "Service Contract," is designed specifically for Caterpillar's 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 or factory 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" inspection date or original purchase date from an "authorized dealer". Certain fees, penalties and coverage availability may apply for all Service Contracts 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 engine".

"Cost(s)" means the usual and fair charges as determined by the manufacturer for parts and labor necessary to repair or replace the parts 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.

"Coverage period" means the period that commences with the start date as shown on the Registration Certificate and expires when time, miles / km 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".

"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 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 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 and provides coverage only within the United States and Canada.

VII. CLAIM PROCEDURES

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. 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".

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 equipment" that either affects the mechanical operation as designed by the "covered equipment" manufacturer or is not done by a "repairer".
- "Repairer" workmanship.
- 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:

- Components not identified in the Service Coverage Matrix for the "covered engine" or any non-Caterpillar part or component.
- Bolts, clamps and other fasteners except as specified on the 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, 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.
- Parts shipping charges and service charges.

IX. TRANSFER OR ASSIGNMENT OF COVERAGE

The remaining coverage 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 containing the "covered engine" 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 / km 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 / km 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 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 THIS SERVICE CONTRACT ARE COVERED UNDER THE APPLICABLE REPLACEMENTS 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. REIMBURSEMENT INSURANCE POLICY

Obligations of the Provider (except in Canada and the States of Virginia and Washington) 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: 1-800-248-4228.

This reimbursement Insurance Policy is only applicable for claims originating and submitted in the U. S. A.

XIII. ENDORSEMENTS

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/ km or hours of unused coverage provided.
- **Cancellation by Us.** We may only cancel this contract for fraud, material misrepresentation or non-payment. 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 **X. 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 pro-rated refund based on the lesser of months, miles / km or hours of unused coverage provided less any claims paid and a \$35.00 administration fee without 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 **X. Termination 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 / km 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 Virginia and Washington: The manufacturer is the Provider.

In Wisconsin: Paragraph **X. Termination and Refunds** the subparagraphs **Refund and Administrative Fee** 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 \$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 fifteen (15) days from the date “you” receive the Service Contract, the pro-rated refund will be based on the lesser of months, miles / km 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 pro-rated 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.

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

In Canada: The Provider for this Service Contract is as follows: The Caterpillar Dealer is the Provider for the labor portion of the repair and the manufacturer is the Provider for the parts portion of the repair.

**Advantage Coverage for Used On-Highway Engines
Extended Service Coverage Matrix
Effective October 1, 2004**

Advantage Engine "Covered Components"		
ITEM	ADV ESC	ADV PLUS ESC
AIR INDUCTION & EXHAUST		
Exhaust Manifolds, Studs & Gaskets	NO	YES
Intake Manifold	YES	YES
Exhaust Sleeves	NO	YES
Turbo(s)	NO	YES ¹
CYLINDER HEAD		
Cylinder Head Casting	YES	YES
Cylinder Head Bolts	NO	YES
Cylinder Head Gasket	YES	YES
Freeze Plug	NO	YES
Spacer Plate (Block and Head)	YES	YES
Spacer Deck (3176)	YES	YES
Intake and Exhaust Valve	NO	YES
Valve Spring, Seat, Insert Guide, Rotocoil & Retainer	NO	YES
Valve Mechanism including Rocker Arm, Brackets, Bridges Dowels, Adjusting Screws, Nuts, Shaft & Push Tubes	YES	YES
Valve Cover & Base	NO	YES
Camshaft	YES	YES
Camshaft Bearings	NO	YES
Camshaft Lifter Assembly (Followers) Clips	YES	YES
FRONT AND REAR COVERS		
Front Covers / Plate / Front Housing	YES	YES
Front Cover Gears	YES	YES
Flywheel Housing	YES	YES
SHORT BLOCK		
Cylinder Block Casting	YES	YES
Crankshaft Casting	YES	YES
Crankshaft Rod, Main & Thrust Bearing	NO	YES
Connecting Rod Assembly & Bushing	YES	YES
Piston, Wrist Pin, Retainer Clip & Piston Rings	YES	YES

Advantage Engine "Covered Components"		
ITEM	ADV ESC	ADV PLUS ESC
SHORT BLOCK CONTINUED		
Oil Jet Tube	NO	YES
Cylinder Liner	NO	YES
Main Bearing Cap Bolt	YES	YES
FUEL SYSTEM		
Timing Gears	YES	YES
Injector (Set)	NO	YES ¹
Injector Sleeves	NO	YES
LUBRICATION SYSTEM		
Oil Pan	YES	YES
Engine Oil Pump	NO	YES
Oil Cooler Housing	YES	YES
Oil Cooler Core	NO	YES
Oil Filter Base	NO	YES
COOLING SYSTEM		
Thermostat Housing	YES	YES
Water Pump Housing	YES	YES
Water Pump	NO	YES ¹
ELECTRONIC SYSTEM		
Control Module (ECM)	YES	YES
Transducer Module	NO	YES
Road Speed Module	NO	YES

Advantage Plus Coverage available for Heavy Duty only.

(YES¹): Optional Components Covered Only If Replaced At Time of Inspection:

- Injector (Set)
- Turbo(s)
- Water pump

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 will result in denial of claims.