



ESC ON-HIGHWAY VEHICLE ENGINES

EXTENDED SERVICE COVERAGE FOR ON-HIGHWAY VEHICLE ENGINES

Registration Certificate For Contracts Issued In The U. S. A. and Canada
For Caterpillar New and Remanufactured On-Highway Vehicle Engines
(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: See Section XIV. Endorsement

TYPE OF REGISTRATION

New Registration Upgrade Coverage TECI # _____

Transfer Ownership Replacement Engine Replacement Engine S/N _____

Start Miles _____ Delivery Date (Installed Date For Reman Engines) _____
mm/dd/yyyy

Transfer Miles _____ Transfer Date _____ Vehicle Make _____ Vehicle Model _____

Engine S/N _____ Engine Sales Model _____ HP _____ VIN _____

APPLICATION

- On-Highway Truck
- School Bus
- Recreational Vehicle
- Fire Truck / Crash Rescue
- Reman
- Other

COVERAGE

With Brakesaver add \$250
(new engines only)

Deductible (Per Visit) \$ _____

Coverage	Months	Hours (If Applicable)	Miles	Prices
ESC Plus - New Engines				
ESC Plus - Reman Engines				
Major Components Pkg				
Maintenance Components Pkg				
Injectors				
Turbocharger				
Water Pump				

COVERAGE TERRITORY

- Zone 1:
- Zone 2:

See Section XV. for Zone country listing.

COVERAGE FEES

ESC Fee U.S. \$ _____
 Brakesaver Fee U.S. \$ _____
 Administration Fee U.S. \$ _____
 Late Fee U.S. \$ _____
 Transfer Fee U.S. \$ _____
 Sales, Applicable Taxes* U.S. \$ _____
TOTAL FEE U.S. \$ _____

*Refer to LEEQ3464 for applicability.

IMPORTANT!

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

Limit of Liability:

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

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

Customer Signature _____

Date (mm/dd/yyyy) _____

I hereby certify that the engine serial number (S/N) 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.

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" original purchase date from an "authorized dealer". Certain fees, penalties and coverage availability limits 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 delivery date for new engines and the installed date for reman engines as shown on the Registration Certificate and expires when time, miles / km or service meter hours, whichever occurs first, from the delivery 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 only within the United States and Canada and provides coverage within the Coverage Territory as designated by the Zone selected on the Registration Certificate.

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 portion of this Service Contract may be transferred or assigned to subsequent owners other than an "authorized dealer" during the "coverage period" provided that (i) the subsequent owner of the "covered engine" presents a copy of the current Registration Certificate, (ii) at the time of presentment, the subsequent owner pays to us the then-applicable transfer fee, and (iii) we approve the transfer or assignment of coverage. We shall from time to time establish the amount of the transfer fee, and whatever amount is in effect at the time of transfer to the subsequent owner shall be paid by such owner.

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

For claims originating and submitted in the U.S. A. (except in the States of Virginia and Washington), 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: 1-800-248-4228.

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

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

- **Refund and Administration Fee.** If "you" cancel this Service Contract, the pro-rated refund will be based upon the lesser of months, miles / 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 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."

XIV. PROVIDER

In the United States, except Virginia and Washington: Caterpillar Product Services Corporation (CPSC), 2120 West End Avenue, Nashville, TN 37203; Telephone Number 800-248-4228.

In Virginia and Washington: The manufacturer is the Provider.

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.

In All Other Countries: The Provider for this Service Contract is as follows: The Caterpillar Dealer is the Provider for both the labor portion of the repair and the parts portion of the repair.

XV. ZONE DESIGNATIONS

ZONE 1	Poland
	Portugal
Albania	Puerto Rico
Andorra	Romania
Austria	Serbia and Montenegro
Belgium	Slovakia
Belize	Slovenia
Bosnia and Herzegovina	Spain
Bulgaria	Sweden
Canada	Switzerland
Colombia	Turkey
Costa Rica	United Kingdom
Croatia	United States
Cyprus	Venezuela
Czech Republic	ZONE 2 (Includes Zone 1 Plus All Countries Below)
Denmark	
Dominican Republic	
Ecuador	
El Salvador	Chile
Estonia	Peru
Finland	South Africa
France	
Germany	
Greece	
Guatemala	
Honduras	
Hungary	
Ireland	
Italy	
Latvia	
Liechtenstein	
Lithuania	
Luxembourg	
Macedonia, The Republic of	
Malta	
Mexico	
Monaco	
Netherlands	
Nicaragua	
Norway	
Panama	

New and Remanufactured On-Highway Vehicle Engines Extended Service Coverage Matrix Effective October 1, 2004

	Major Components	ESC Plus	Maintenance Components Package		Major Components	ESC Plus	Maintenance Components Package
AIR INDUCTION & EXHAUST GROUP				FRONT AND REAR COVER GROUP			
Exhaust Manifolds, Studs & Gaskets		YES		Front Cover/Housing/Plate/Gears (and gaskets)		YES	
Air Inlet Heater & Relay		YES		Subshaft (idler shaft on 3126E & C7)		YES	
Pre-Cooler (Turbocharger)		YES		Flywheel Housing	YES	YES	
Coolant Diverter Valve		YES		Flywheel Housing Gasket		YES	
Turbocharger (includes mounting hardware, wastegate, smart wastegate solenoid)		YES ¹	YES	Vibration Damper		YES	
Intake Manifold	YES	YES		SHORT BLOCK GROUP			
CYLINDER HEAD GROUP				Cylinder Block (casting)	YES	YES	
Cylinder Head Casting	YES	YES		Freeze Plug		YES	
Cylinder Head Bolts, Gasket, Freeze Plug		YES		Crankshaft	YES	YES	
Injector Sleeves & Sleeve Seals		YES		Bearings (crankshaft, main, thrust)		YES	
Exhaust Sleeves		YES		Connecting Rod Assembly	YES	YES	
Intake/Exhaust Valves (includes seats, seals, spring, insert, guide, rotocoil, retainer)		YES		Piston Assembly (includes wrist pin, retainer clip, rings)		YES	
Valve Mechanism (includes rocker-arm, roller followers, brackets, bridges, dowels, adjusting screws, nuts, shaft & push tubes)		YES		Piston Cooling Jet		YES	
Valve Cover & Base		YES		Cylinder Liner, Seals, Filler Band		YES	
Camshaft	YES	YES		Main Bearing Cap Bolt	YES	YES	
Camshaft Bearings, Gear, Key		YES		FUEL SYSTEM			
Camshaft Rear Cover/Seal		YES		Unit Injectors (includes seals and hold down hardware)		YES ¹	YES
Variable Valve Actuator (VVA) Assembly		YES		MISCELLANEOUS ITEMS			
LUBRICATION SYSTEM				Brakesaver (new engines only)		YES ¹	
Oil Pan		YES		Cat Compression Brake		YES	
Oil Pump		YES		Broken Nuts and Bolts attaching a covered component (torque is not covered)	YES	YES	YES
Oil Cooler Housing	YES	YES		YES = Covered Component			
Oil Cooler Core, Bonnet		YES		YES ¹ = Optional Coverage, additional fee applies, must be purchased in conjunction with ESC Plus.			
Oil Filter Base		YES		Blank = Not Covered or Not Applicable			
HEUI High Pressure Lines, Pump & Injector Actuation Pressure Control Valve		YES		Listed components may not be applicable to all engine models			
COOLING SYSTEM				NOTES: Major Components, ESC Plus and Maintenance Components are individual coverage plans, each bearing its own registration fee. While, the three-component maintenance package may be purchased stand-alone, coverage for individual maintenance components must be purchased in conjunction with an ESC Plus contract.			
Thermostat Housing and Cover		YES		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 coverage.			
Water Pump (impeller, seals, gaskets)		YES ¹	YES				
Water Pump Housing	YES	YES	YES				
Water Manifold Housing		YES					
ELECTRONIC SYSTEM							
Control Module (ECM)	YES	YES					
Sensors (all engine sensors)		YES					
Engine Oil Rail (EOR) Valve		YES					