

BID SUBMITTAL FORM
Alabama County Joint Bid Program
BID ITEM – 130 HP HYDROSTATIC BULLDOZER – OPTION B

Company Name: THOMPSON TRACTOR COMPANY

Address: P.O. BOX 10367
BIRMINGHAM, AL 35202-0367

Bid Submitted by: JAY SMITH
(Name of company representative)

Title: SALES OPERATIONS MANAGER E-mail address: JAYSMITH@THOMPSONTRACTOR.COM

Phone: (205) 849-4242 Fax: _____

By submitting this bid, we agree:

Initials

The equipment model number identified below meets the bid specs for this bid item.

JS

That the bid price will be honored for all counties for the period from January 1, 2023 to December 31, 2023.

JS

The equipment will be delivered at the bid price to all counties participating in the joint bid program.

JS

The company representative listed above will be the contact person for purchasing this bid item under the joint bid program.

JS

The bid is accompanied by a current catalog or model specification document for the model number identified below.

JS

The bid is accompanied by a copy of the manufacturer's standard warranty as required in the bid specifications.

JS

The bid includes the e-verify documentation required by Alabama law.

JS

If awarded the bid, a performance bond will be provided upon request.

JS

The bid documents include the **Manufacturer's Suggested Retail Price Sheet (MSRP) for the Standard Machine.**

JS

130 HP HYDROSTATIC BULLDOZER – OPTION B

Total Bid Price for Standard Machine: \$ 249,017

(Total Bid Price for Standard Machine Includes Freight Preparation, Delivery and Standard Warranty Costs) *

Freight Preparation and Delivery: \$ 8,025

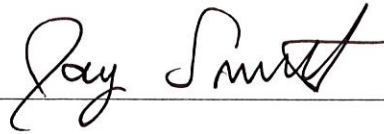
(Included in Standard Machine Bid Price)

Manufacturer's Suggested Retail Price for Standard Machine: \$ 334,711

Equipment Model #: CATERPILLAR D4

Description: TRACK TYPE TRACTOR

Signature of company representative submitting bid: _____



Title: SALES OPERATIONS MANAGER

* **NOTE:** Award will be made based on the total cost of the **Standard Machine**. The total cost of the standard machine is to include the freight preparation, delivery and standard warranty cost. Freight preparation, delivery will be excluded from the total bid price of the standard machine in determining the percentage discount for any available options.

**BID SUBMITTAL FORM: OPTION COST SHEET
130 HP HYDROSTATIC BULLDOZER – OPTION B**

By submitting this bid, we agree:

To offer any available options at the percent difference between the Manufacturer's Suggested Retail Price Sheet and the actual bid price on the Standard Machine*

DAF

The bid documents include the Manufacturer's Suggested Retail Price Sheet (MSRP) with **any available Options** for the Standard Machine

DAF

Equipment Model #: CATERPILLAR D4

Description: TRACK TYPE TRACTOR

Signature of company representative submitting bid: 

Title: SALES OPERATIONS MANAGER

***Note:** The percent difference between the **Manufacturer's Suggested Retail Price Sheet (MSRP)** for the standard machine as specified by these **Bid Specifications** and the actual price bid by the vendor will be calculated to determine the percentage discount to be applied to any available options. The bid price of the freight preparation, delivery cost shall be excluded in determining the percentage discount to be applied to available options. Any individual county may choose to add any available option to the standard machine at the percentage discount at the time of purchase.

**BID SPECIFICATIONS
FOR
130 HP HYDROSTATIC BULLDOZER – OPTION B**

GENERAL

These specifications shall be construed as the minimum acceptable standards for a 125 hp hydrostatic bulldozer. Should the manufacturer's current published data or specifications exceed these standards, the manufacturer's standards shall be considered minimum and shall be furnished. All integral parts not specifically mentioned in the scope of these specifications that are necessary to provide a complete working unit shall be furnished. Additionally, the machine offered for bid shall include all standard manufacturer's equipment. The bulldozers must be a new current production model and shall meet all EPA and other applicable standards at the time of manufacture.

The use of specific names and numbers in the specifications is not intended to restrict the bidder or any seller or manufacturer, but is intended solely for the purpose of indicating the type, size and quality of equipment considered best adapted to the uses of counties participating in this joint bid.

BID SUBMITTAL FORM

Each bidder must submit his or her bid on the Bid Submittal Form included in the invitation to bid package. All written warranties to be submitted shall be attached to the Bid Submittal Form.

BID PRICE

The price bid shall include all destination charges, delivery charges, title fees, rebates, and all other applicable costs and refunds.

MANUALS

Each unit shall be provided with one (1) copy of the operator's manual and one (1) copy of the current parts manual. Units will not be accepted for delivery until the manuals as outlined above are received by the purchaser.

REPLACEMENT PARTS AVAILABILITY

Parts must be available for 5 years or 7,500 hours of use for the piece of equipment bid. If replacement parts are not delivered within three (3) working days of an order being placed, the bidder will deliver an equivalent machine for the county to use at no cost to the county until such time as the parts are delivered to the county so it can affect repairs to its machine.

WARRANTY

Bidders shall submit a copy of the manufacturer's standard warranty. Warranty shall include service response time of maximum of 36 hours within notification by county.

Yes No
Page# _____
or
Attachment

ENGINE

Shall be a turbocharged diesel engine with a displacement of not less than **260 cubic inches**, capable of developing a minimum of **130 net** flywheel horsepower (SAE J1349).

Yes No
Page # 1, 14

Engine shall be manufactured by the equipment manufacturer.

Yes No
Page # 1, 14

WEIGHT

Operating weight with blade, operator, full fuel tank, and ROPS canopy shall not be less than **30,500 lbs.**

Yes No
Page # 14

ELECTRICAL SYSTEM

Shall be equipped with a minimum **100-amp** alternator.

Yes No
Page # 15

TRANSMISSION

Shall be equipped with a hydrostatic type transmission.

Yes No
Page # 15

STEERING

All steering functions must be able to be performed using one hand only.

Yes No
Page # 10

UNDERCARRIAGE

The tractor shall be equipped with sealed and lubricated tracks. Minimum shoe width shall be **30 inches**. Track sag shall be hydraulically adjusted.

Yes No
Page # 14

Ground bearing pressure shall not exceed **4.5 lbs./sq. inch.**

Yes No
Page # 14

BLADE

The machine shall be equipped with a six-way (pat) blade with a minimum capacity of **4.8 cubic yards.**

Yes No
Page # 14

VANDALISM PROTECTION

Machine shall be equipped with all standard and optional factory vandalism protection available for the machine bid.

Yes No
Page # 14, 15

SAFETY EQUIPMENT

Gauges and indicators shall be provided to monitor critical (fuel level, coolant temperature, powertrain oil temperature, and hydraulic oil temperature) operational systems of the machine and alert the operator when potential problems occur.

Yes No
Page # 15

Rear view mirror; backup alarm.

Yes No
Page # 15

Heavy duty hinged radiator guard

Yes No
Page # 15

Crankcase guard

Yes No
Page # 15

Track center guiding guard

Yes No
Page # 15

Pre-cleaner guard

UNDER HOOD

Yes No
Page # 1, 15

Front tow hooks

Yes No
Page # 15

Heavy duty rear drawbar

Yes No
Page # 15

Fire extinguisher

Yes No
Page # VENDOR

Water separator

Yes No
Page # 15

D4 LGP	125 HP HYDROSTATIC BULLDOZER OPTION B	2023 Pricing
575-5171	D4 LGP TRACTOR	\$15,120
578-7519	N.A. REGIONAL PACKAGE	\$0
581-0392	VPAT CONFIGURATION	\$291,592
577-5974	C4.4 TTA CATERPILLAR ENGINE	\$0
577-5976	LGP POWERTRAIN	\$0
584-4810	STANDARD AIR CLEANER	\$0
431-7080	HEAVY DUTY UNDERCARRIAGE	\$0
379-3983	30" EXTREME SERVICE 30" SHOES	\$3,455
368-9744	CENTER TRACK GUIDING GUARD	\$1,366
578-0532	NO REAR HYDRAULIC PACKAGE	\$0
579-0200	STANDARD STARTER	\$0
566-5453	DEMAND FAN	\$0
465-5604	STANDARD STARTER	\$0
536-9447	6 HALOGEN LIGHTS	\$0
576-6087	STANDARD CAB	\$0
581-1606	REAR VIEW CAMERA	\$0
579-2176	GRADE CONTROL READY W/ ASSIST	\$10,024
578-9247	CELLULAR PLE743 PRODUCT LINK	\$0
585-3842	STANDARD FUEL TANK	\$0
578-7619	FRONT PROTECTION PACKAGE	\$778
578-3046	DRAWBAR	\$0
525-6315	STANDARD HYDRAULIC OIL	\$0
0P-3940	CYLINDER ROD PROTECTION	\$0
0P-0996	ENGLISH MANUAL	\$0
421-8926	TECHNICAL MEDIA KIT	\$0
585-5659	STANDARD AM/FM BLUETOOTH RADIO	\$762
0P-1939	WINDSHIELD WASHER	\$0
0P-3978	FUEL ANTIFREEZE	\$0
582-6695	145" ACCUGRADE READY LGP BLADE	\$11,614
	TOTAL BID PRICE FOR STANDARD MACHINE	\$249,017
	FREIGHT PREPARATION AND DELIVERY	\$8,025
	TOTAL MANUFACTURER'S SUGGESTED RETAIL PRICE FOR STANDARD MACHINE	\$334,711

D4

TRACK-TYPE TRACTOR



Net Power (2,100 rpm)

ISO 9249/SAE J1349

97 kW (130 hp)

ISO 9249/SAE J1349 (DIN)

132 mhp

Operating Weight

D4

13 272 kg (29,259 lb)

D4 LGP

14 008 kg (30,882 lb)

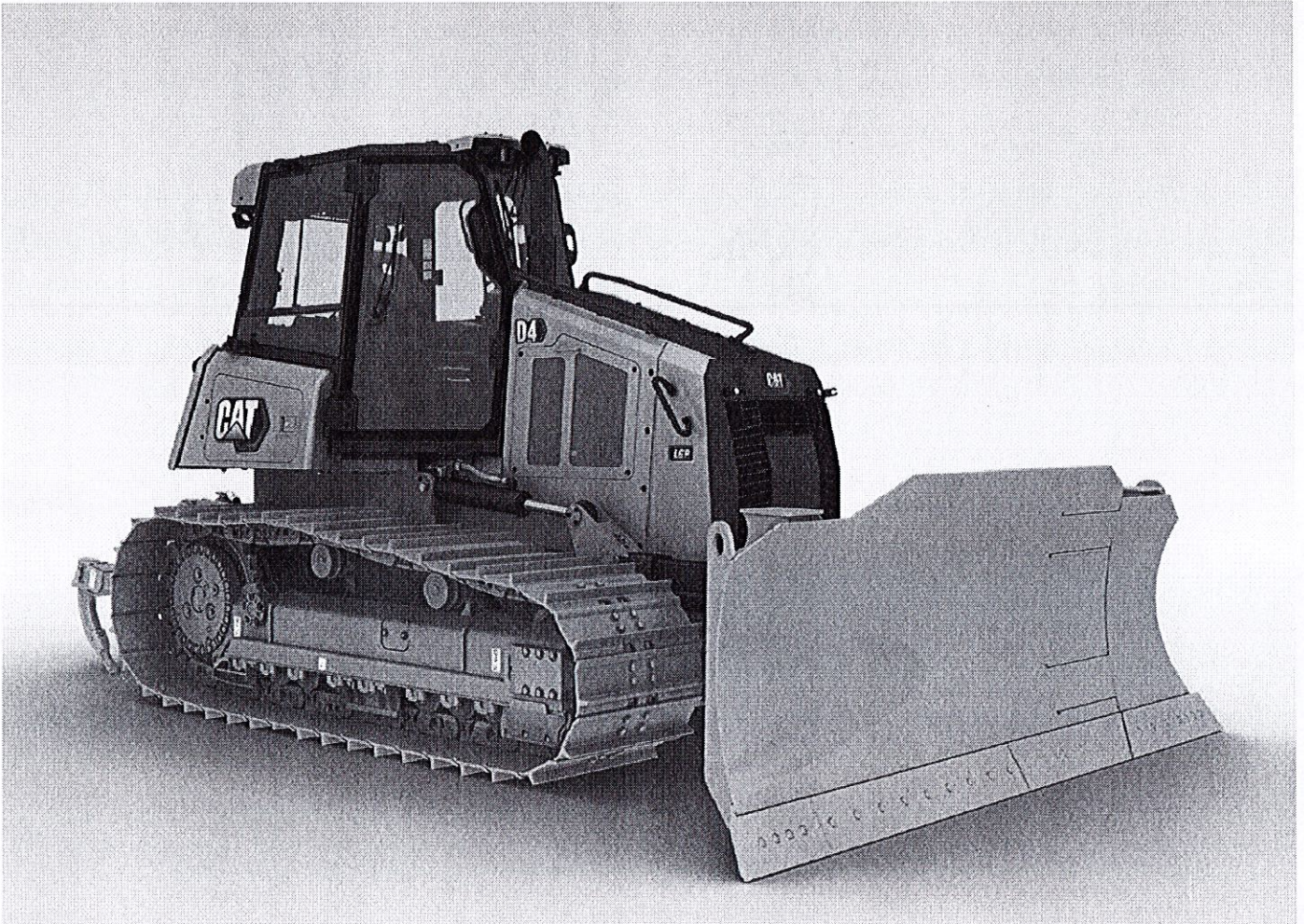
Cat® C4.4 Engine meets U.S. EPA Tier 4 Final/EU Stage V/Japan 2014/Korea Tier 4 Final emission standards.

CAT[®]

THE NEW CAT[®] D4

SEE A BETTER BOTTOM LINE

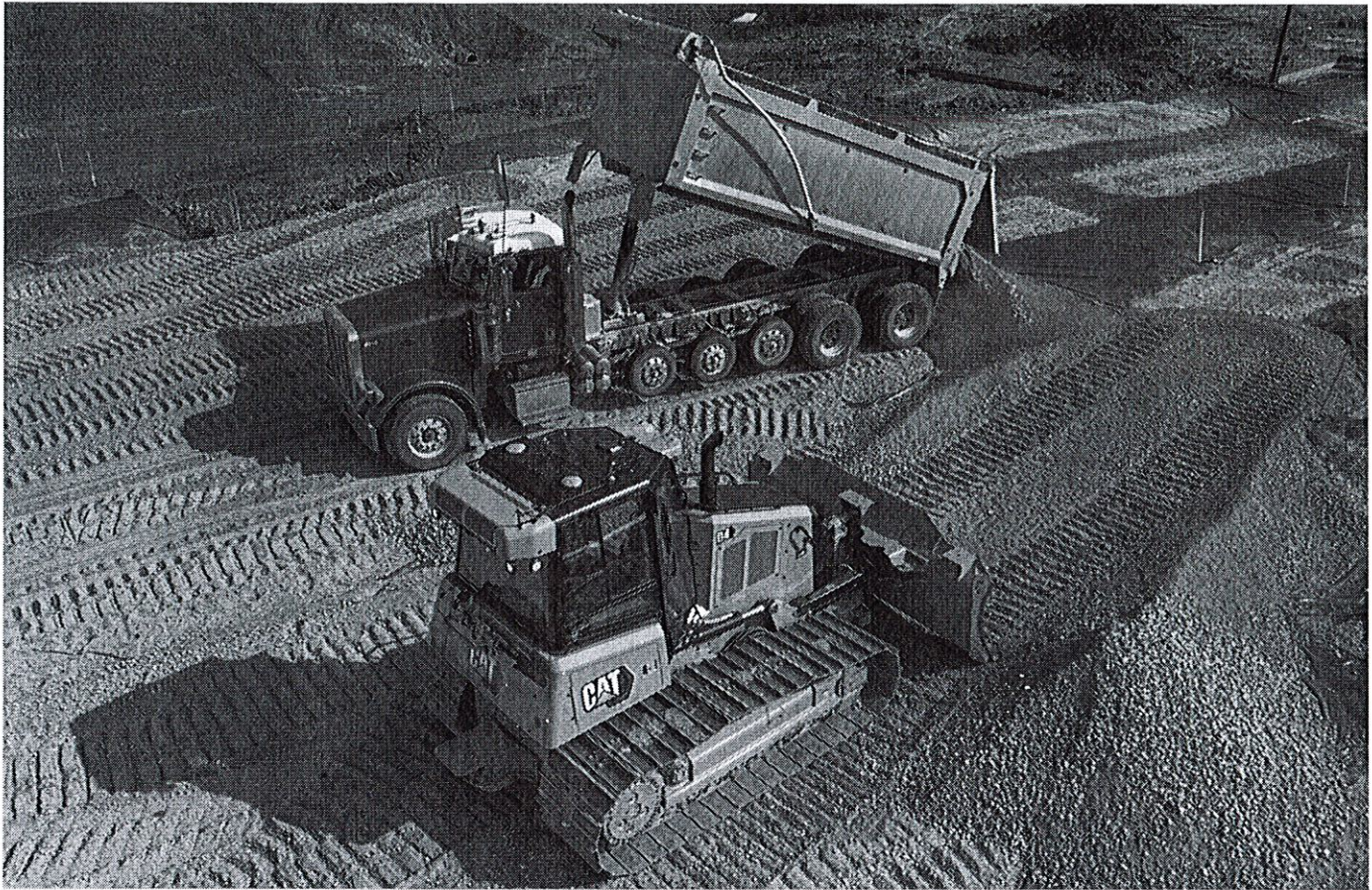
The versatile new Cat[®] D4 Dozer offers the power and precision to get jobs done quickly, plus gives you up to 30 percent more visibility in front of the blade. Easy-to-use technology features help you get more quality work done in less time. Fuel efficiency and service improvements help reduce your operating costs.



GAIN THE COMPETITIVE EDGE

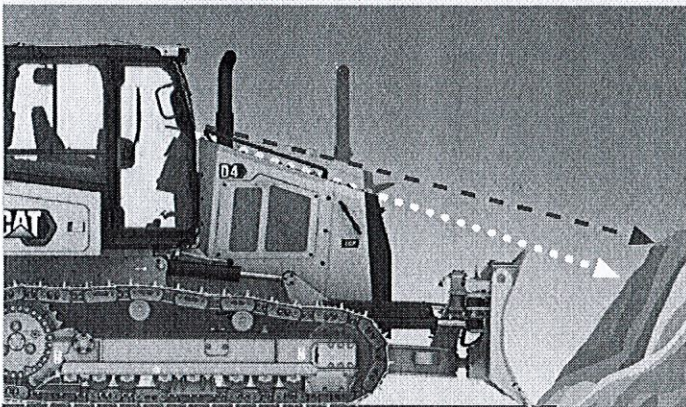
An unprecedented choice of technology features help make your job easier.

- + Grade technologies help you hit target grade faster and more accurately. Save time and material, plus help operators of varied experience levels work more efficiently.
- + Link technologies connect you to your machines to help save time and money on service, not to mention added convenience.
- + Operator assist features work behind the scenes to help make machine operation easier.



A BETTER VIEW

Lower sloping hood line = **about 30% better visibility** to the work area in front of the blade.



SHORTER SIGHT LINE GETS YOU ABOUT 40% CLOSER TO THE PILE FOR FASTER CYCLE TIMES.

NEW D4 ----->
 PREVIOUS MODEL D8K/D8K2/D4 ----->

UP TO 30% BETTER FORWARD VISIBILITY

Work more efficiently – lower sloping hood line for better visibility to the area in front of the blade.

UP TO 50% MORE PRODUCTIVITY WITH CAT TECHNOLOGY

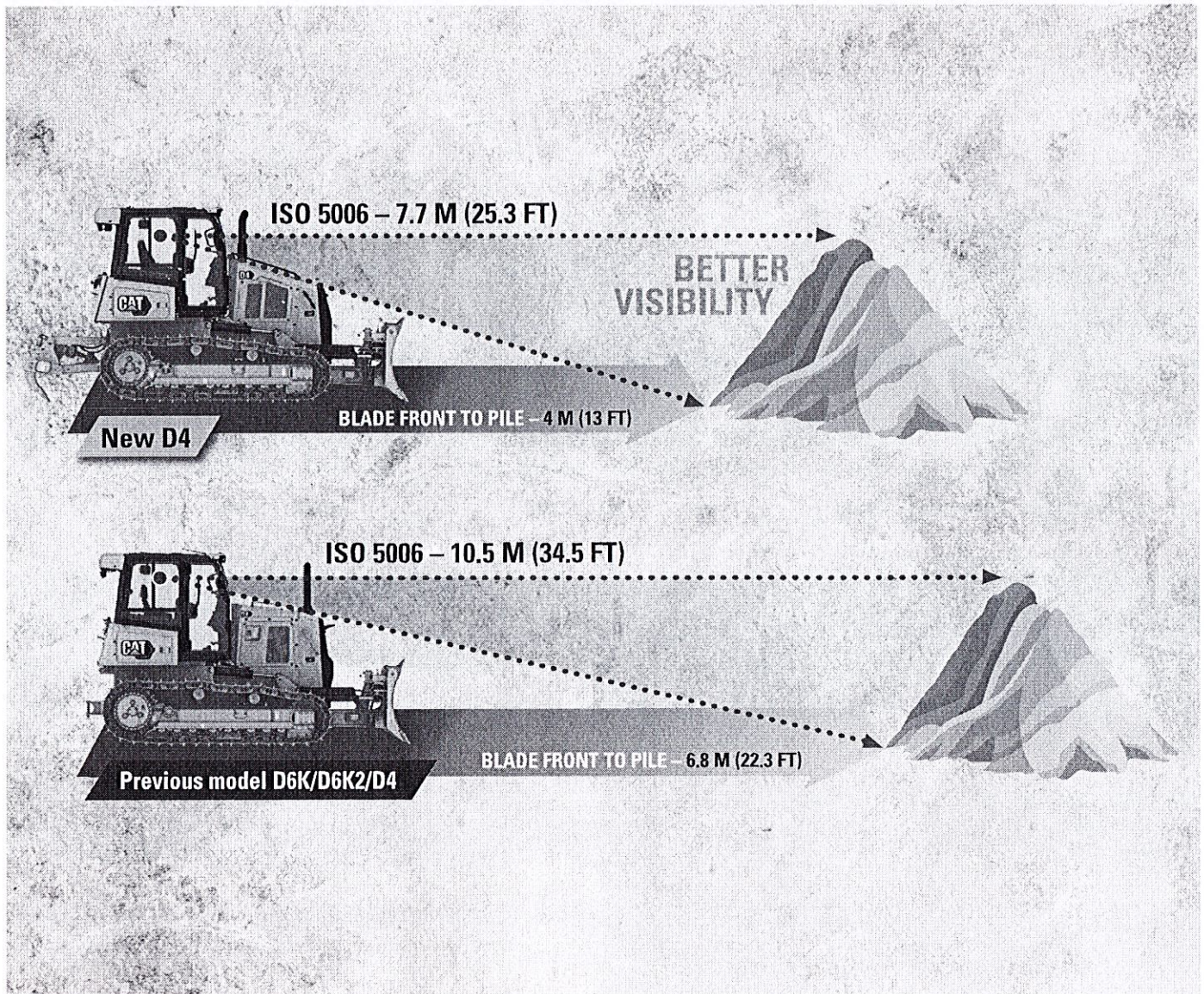
Industry leading technology choices to help operators of varied experience levels work better, faster and safer.

LOWER OPERATING COSTS

Lower maintenance costs, longer service intervals help you save time and money.

BETTER SIGHT LINES ENJOY THE VIEW

Get a better view of the work at hand with a lower sloping hood line that gives you up to 30 percent better visibility to the area in front of the blade.



WORK FASTER

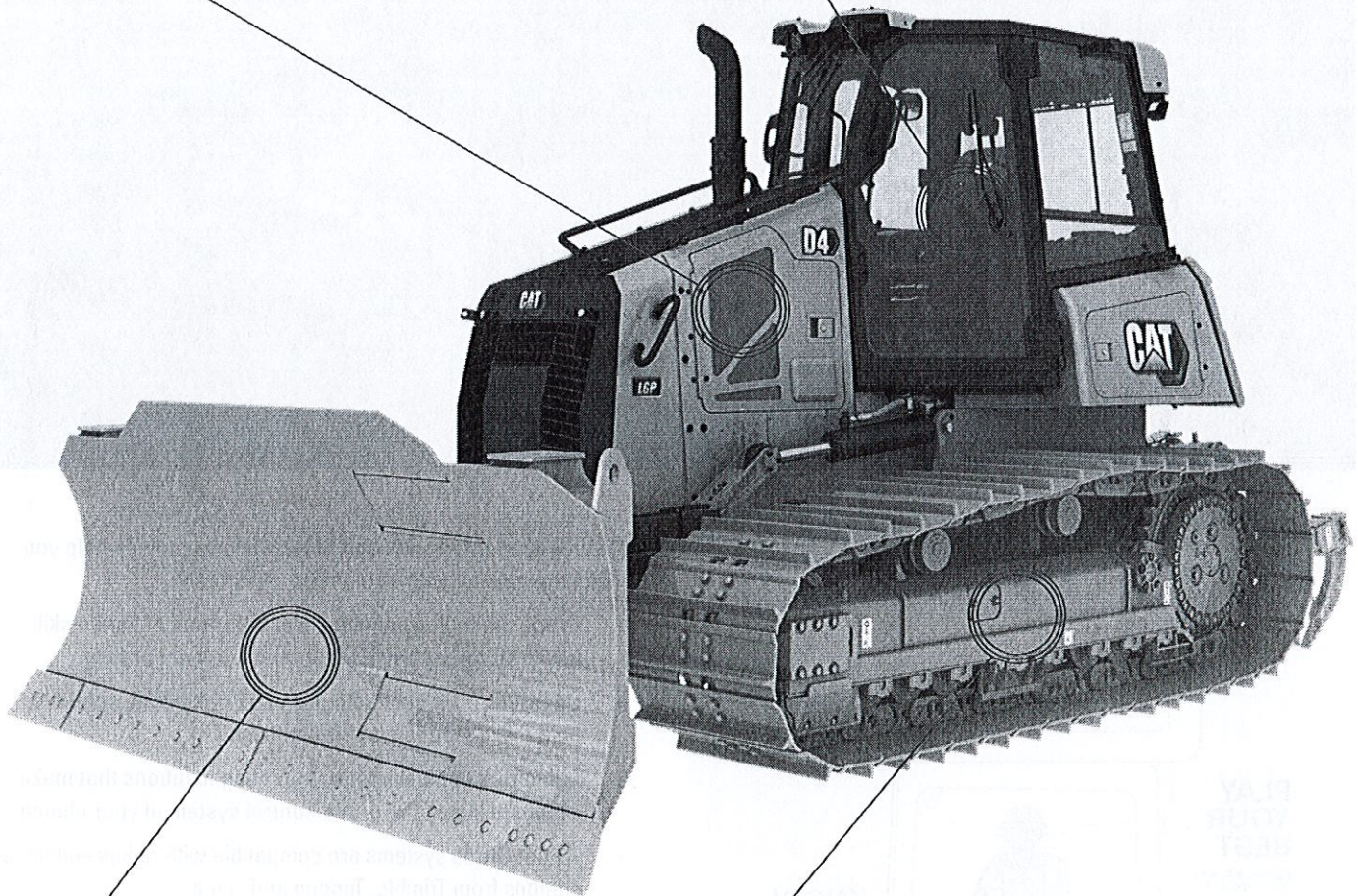
Shorter sight lines mean you won't have to back up as much to get a full view of the material. With the visual distance between the front of your blade and the pile shortened by about 40 percent, you'll spend less time in reverse and get the job done faster.

POWERFUL

Cat C4.4 engine with twin turbochargers combined with a hydrostatic transmission gives you excellent fuel efficiency and the most power-dense drive train in its size class.

AGILE

Superior maneuverability, fast steering response gives you the agility to get the job done quickly.



VERSATILE

Variable Pitch Angle Tilt (VPAT) blade gives you the width and capacity to move material, as well as the finesse you need for smooth finish grades. Foldable VPAT option available for narrower transport width.

BALANCED

The undercarriage design, with eight bottom rollers and two carrier rollers, is optimized for smooth finish grading and a better ride, even at faster grading speeds.

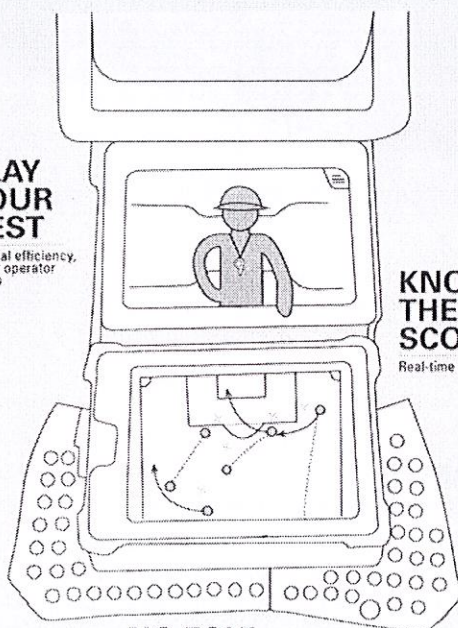
GAIN THE COMPETITIVE EDGE



CAT[®] TECHNOLOGY IS LIKE HAVING A COACH IN THE CAB

PLAY YOUR BEST

Optimal efficiency,
fewer operator
inputs



KNOW THE SCORE

Real-time Feedback

NO FOUL

Save rework, time, materials

An unprecedented selection of technology choices help you make the most of your equipment investment.

- + Grade technology options help operators of varied skill levels hit target grade faster and more accurately.
- + Operator assist technologies work behind the scenes to help make machine operation easier.
- + Cab offers optimal interior mounting locations that make it simple to install the grade control system of your choice.
- + All Cat Grade systems are compatible with radios and base stations from Trimble, Topcon and Leica.
- + Link technologies, remote services and tools like the Cat App help connect you to your equipment to help save time and money on service and maintenance.

CAT GRADE TECHNOLOGY

BOOST YOUR PRODUCTIVITY



NO GPS SIGNAL? NO PROBLEM

Cat Grade with Slope Assist™ automatically maintains operator's pre-established blade position without a GPS signal. Put it to work building pads, creating simple design plans on-the-go or working where GPS is unavailable. Slope Assist works seamlessly alongside 3D GPS systems.

FIRST PASS TO FINISH GRADE

Factory-integrated Cat Grade with 3D uses a GPS signal to automatically adjust blade movements – both lift and tilt – as you follow the design. Save time, labor and materials on all phases of the job. The friendly 10-inch (254 mm) touchscreen grade display works like a smart phone, so it is easy for operators to pick up quickly. Antennas and receivers are housed in a low-profile roof-mounted spoiler.

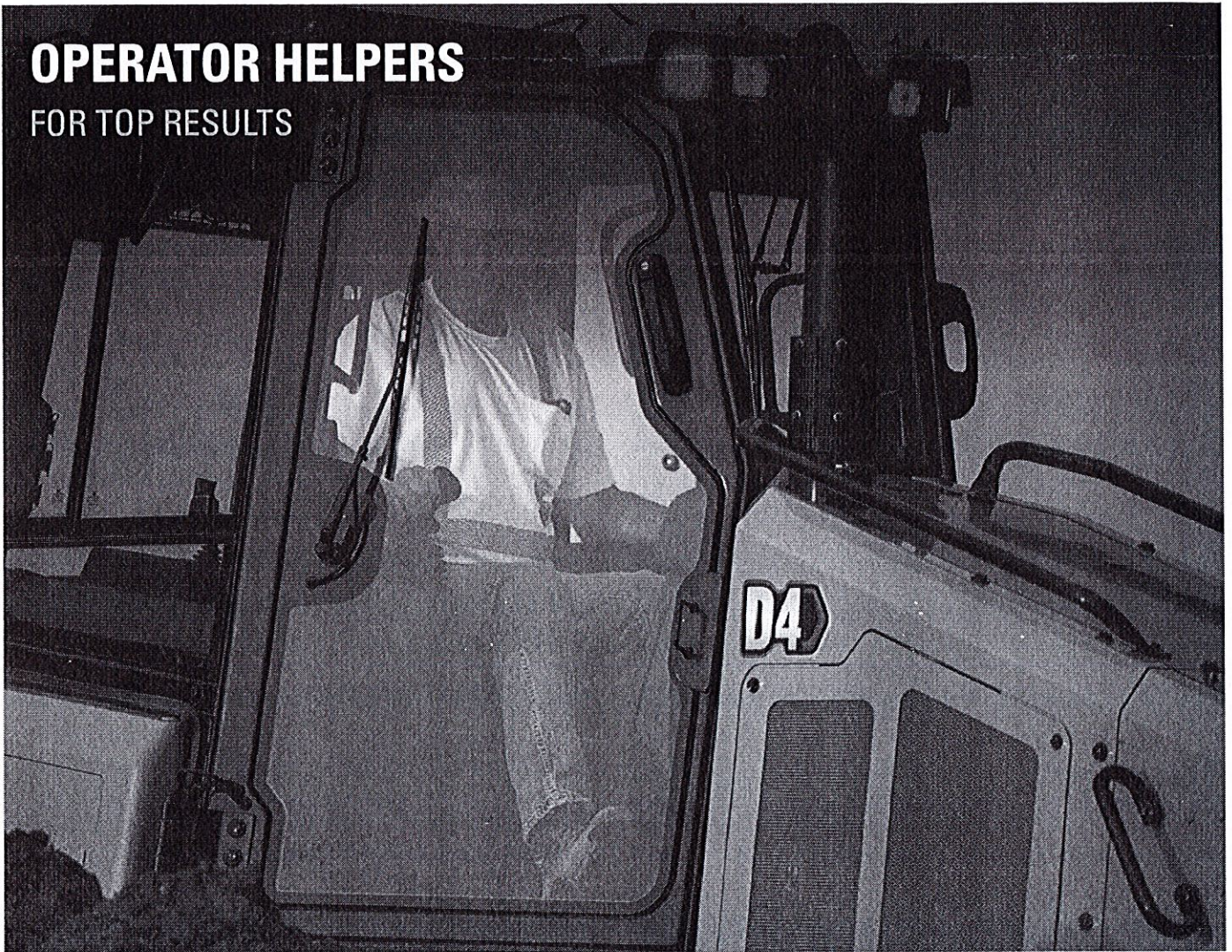
READY WHEN YOU ARE

With Attachment Ready Option (ARO), your dozer comes from the factory ready for simple installation of a grade control system. ARO is bundled with Slope Assist and the standard technology features to help operators get more done in less time. You will also find optimal mounting locations in the cab to make it easier to utilize your technology systems.

Already invested in a grade infrastructure? You can install grade systems from Trimble, Topcon and Leica onto the machine.

OPERATOR HELPERS

FOR TOP RESULTS



SMOOTH OPERATOR

Stable Blade makes it easier to get smoother surfaces faster when operating manually. Works seamlessly with operator blade inputs to help reduce imperfections and produce a smoother surface.

MAKE THE MOST OF EVERY PASS

AutoCarry automates blade lift to help you get more consistent blade loads with each pass and reduce track slip.

Note: Grade with 3D package required.

KEEP PUSHING FORWARD

Save time, effort, fuel and track wear. If high track slip is detected, Traction Control temporarily reduces track power so the operator can adjust blade load and limit the track slip.

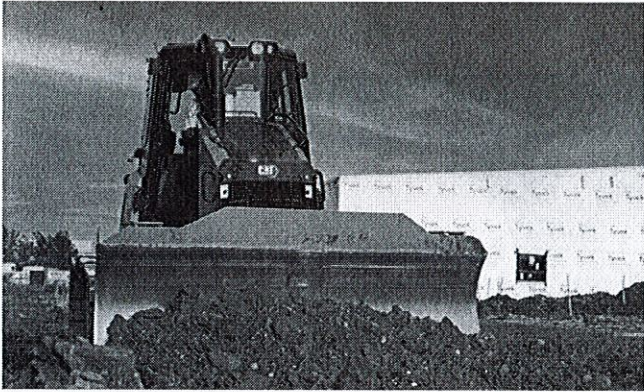
HARNESS THE POWER

Power Turn provides power to each track to allow dozer to carry heavy loads around turns.

CAT LINK TECHNOLOGY

TAKES THE GUESSWORK OUT OF MANAGING YOUR EQUIPMENT

Cat Link telematics technology helps take the complexity out of managing your jobsites – by gathering data generated by your equipment, materials and people – and serving it up to you in customizable formats.



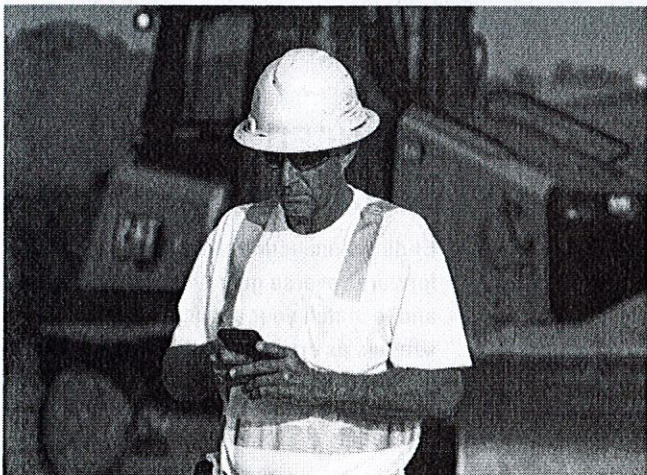
CAT PRODUCT LINK™

Product Link™ collects data automatically and accurately from your assets – any type and any brand. Information such as location, hours, fuel usage, productivity, idle time, maintenance alerts, diagnostic codes and machine health can be viewed online through web and mobile applications.



VISIONLINK®

Access information anytime, anywhere with VisionLink® – and use it to make informed decisions that boost productivity, lower costs, simplify maintenance and improve safety and security on your jobsite. With different subscription level options, your Cat dealer can help you configure exactly what you need to connect your fleet and manage your business without paying for extras you don't want. Subscriptions are available with cellular or satellite reporting or both.



REMOTE SERVICES

The Cat App helps you manage your assets – at any time – right from your smartphone. See fleet location and hours, get critical required maintenance alerts and even request service from your local Cat dealer.

- + **Remote Flash** – get software updates to one or more machines remotely.
- + **Remote Grade** lets you wirelessly manage site plans via Trimble Connect Services.
- + **Operator ID** lets you track machine operation by individual operator using the main display and Product Link.

COME ON IN AND MAKE YOURSELF COMFORTABLE

Updated cab offers more comfort and convenience for long days in the seat. Pair that with added visibility along the lower sloping hood line, and you have an operator environment that helps you get the job done.



STAY IN TOUCH

10-inch (254 mm) touchscreen main display is easy to use with a great view of machine settings and features. The standard high-definition rearview camera shows prominently in the display and includes backup lines to guide you.

WORK SPACE

New, more comfortable seat offers improved suspension and multiple adjustments for personalized comfort. Plus, enjoy additional storage spaces throughout the cab.

REDUCED EFFORT

Bi-directional control lets you preselect forward/reverse gears for reduced effort and to match your application. Save the settings as operator profile for even more convenience.



EQUIPPED FOR THE JOB

FIT THE WAY YOU WORK

Choose from undercarriage, track shoe, guarding and attachment options to ideally outfit your dozer for the type of work you do.

HEAVY DUTY/FORESTRY

You can equip your D4 with a variety of factory options to provide added protection in heavy-duty applications like forestry and land clearing. Choose individual components, sweeps/screens, protection packages and even a heavy-duty cab with polycarbonate windows.



SAVE TIME, SAVE MONEY

BECAUSE UPTIME COUNTS

EASY SERVICE ACCESS

Large engine compartment door gives you easy ground-level access to service and maintenance points. The lower panel can be removed without tools. The trunnion grease point can now be reached without bending down. Longer drawbar platform gives you more convenient fuel fill/rear camera cleaning access. Optional ground level fast fuel fill and shovel bracket add to overall convenience.

OPERATING COST SAVERS

Eco modes optimize engine speed, while maintaining ground speed and power, to save you fuel in lighter blade load applications like finish grading. Efficiency features reduce engine speed when idling, or shut the machine down after a specified time, to further save fuel and meet idling regulations. Efficient cooling package has better air flow, helping to reduce fan speed and save even more fuel in cooler conditions/lighter applications.

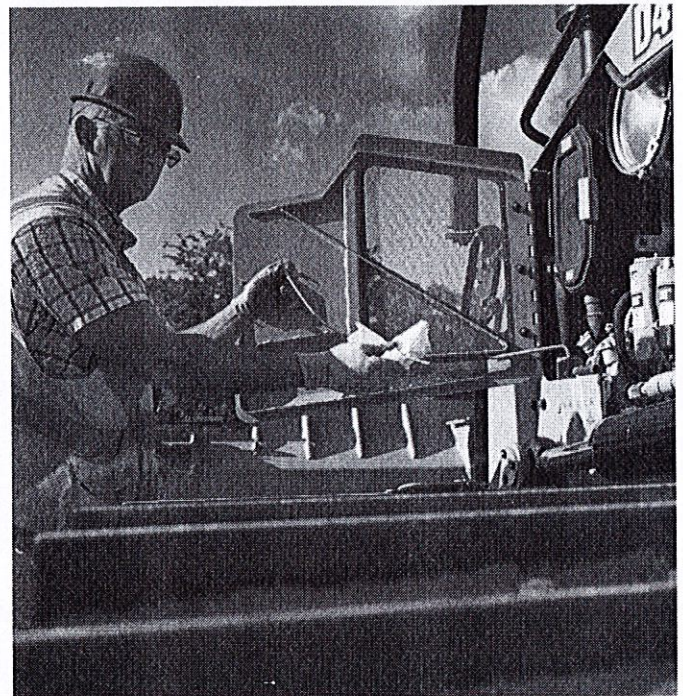
NEW UNDERCARRIAGE CHOICE

New Cat Abrasion™ undercarriage is your lowest cost-per-hour solution for high abrasion and low impact jobsites. The new design offers double the seal life and eliminates bushing turns, reducing your costs up to 50 percent per hour compared to traditional undercarriage.

SPEND LESS ON MAINTENANCE

Engine oil/engine oil filter service interval has been extended to 1,000 hours.* Longer service intervals on the air cleaner and Diesel Exhaust Fluid (DEF) pump filter help save time, too. LED lights offer up to six times the life of halogen to save on parts cost.

*First change at 500 hours. Scheduled Oil Sampling (S-O-SSM) required. Please refer to Operation and Maintenance Manual (OMM) for details.





MORE THAN MACHINES

BUILT AROUND YOUR SUCCESS

When you buy Cat equipment, you get so much more than the machine. You also get the support of a best-in-class dealer network, backed by a range of flexible solutions, technology, tools and more.

CUSTOMER VALUE AGREEMENTS

A Customer Value Agreement (CVA) from your Cat dealer helps you do more and worry less. A CVA simplifies machine ownership and maintenance, adds the security of expert dealer support and gives you the peace of mind from effective equipment health management.

REPAIR OPTIONS

A broad range of repair options give you choices that work with your needs, budget and timeline. Every repair is performed by expert Cat technicians. You'll receive smart repair advice, a timely, accurate quote and service that gets your machine back into action quickly.

GENUINE CAT PARTS

Genuine Cat Parts deliver the highest level of reliability and productivity. Order direct from your Cat dealer or shop online at parts.cat.com or myparts.cat.com.

FINANCIAL SERVICES

Count on Cat Financial to provide the best finance and extended protection solutions for your business. For more than 30 years, we have helped our customers succeed through financial service excellence.

GET BACK TO WORK

Services to help you save time, save money and get back on the job.

CAT INSPECT

Access your equipment data on your mobile device. This easy-to-use app lets you capture inspection data and integrates with your other Cat data systems, so you can keep a close eye on your fleet.

HYDRAULICS AND HOSE

Whether you choose new, Reman, exchange or rebuilt hydraulic components, you'll get expert diagnostics, testing and contamination control. Cat Hose Service offers hoses and couplings for most makes and models.

CERTIFIED REBUILD

Get a full second machine life at a fraction of the cost of buying new. With upgraded features, safety enhancements and the latest technologies, your old machine will perform even better than it did when it rolled off the line.

TECHNICAL SPECIFICATIONS

See cat.com for complete specifications.

ENGINE		
Engine Model	Cat C4.4	
Emissions	U.S. EPA Tier 4 Final/EU Stage V/ Japan 2014/Korea Tier 4 Final	
Build Number	16A	
Transmission Type	Hydrostatic	
Net Power (2,100 rpm)		
ISO 9249/SAE J1349	97 kW	130 hp
ISO 9249/SAE J1349 (DIN)	132 mhp	
Displacement	4.4 L	268.5 in ³

- Net power available at the flywheel when the engine is equipped with fan, air cleaner, aftertreatment, and alternator with engine speed at 2,100 rpm.
- Advertised power is tested per the specified standard in effect at the time of manufacture.
- The air conditioning system on this machine contains the fluorinated greenhouse gas refrigerant R134a (Global Warming Potential = 1430). The system contains 1.6 kg of refrigerant which has a CO₂ equivalent of 2.288 metric tonnes.

OPERATING WEIGHT		
D4	13 272 kg	29,259 lb
D4 LGP	14 008 kg	30,882 lb

SERVICE REFILL CAPACITIES		
Fuel Tank	260 L	69 gal
DEF Tank	19 L	5 gal

BLADES			
Blade Type	VPAT/Foldable VPAT		Width
	Capacity		
VPAT	3.26 m ³	4.26 yd ³	3196 mm 10.5 in
LGP.VPAT	3.81 m ³	4.98 yd ³	3682 mm 12.0 in

- VPAT foldable blades have the same capacity and width as the blades.

DIMENSIONS				
	D4		D4 LGP	
Width of Tractor				
Standard Shoes without Blade	2330 mm	92 in	2760 mm	109 in
Standard Shoes with VPAT Blade Angled 25°	2896 mm	114 in	3337 mm	131 in
Standard Shoes with Foldable Blade in Transport Position	2364 mm	93 in	2850 mm	112 in
Machine Height from Tip of Grouser – ROPS Cab	2965 mm	117 in	2965 mm	117 in
Width of Standard Shoe	560 mm	22 in	760 mm	30 in
Length of Track on Ground	2653 mm	104 in	2653 mm	104 in
Length of Basic Tractor (with C-Frame and drawbar)	4618 mm	181 in	4618 mm	181 in
With the Following Attachments:				
VPAT Blade, Straight	5000 mm	196 in	5000 mm	196 in
VPAT Blade, Angled 25° (Standard and Foldable)	5630 mm	221 in	5630 mm	221 in
Ground Clearance from Ground Face of Shoe (per SAE J1234)	350 mm	14 in	350 mm	14 in
Ground Pressure (ISO 16754)	40.5 kPa	5.9 psi	31 kPa	4.5 psi

Note: all weights and dimensions with Cat Abrasion undercarriage.

STANDARD & OPTIONAL EQUIPMENT

Standard and optional equipment may vary. Consult your Cat dealer for details.

POWER TRAIN	STANDARD	OPTIONAL
Cat C4.4 diesel engine	•	
Air cleaner with integrated precleaner, dust ejector and under hood air intake	•	
Auto engine speed control	•	
Electric fuel pump	•	
Hydrostatic, infinite variable speed transmission	•	
Precleaner with turbine		•
Auto reversing fan		•
OPERATOR ENVIRONMENT	STANDARD	OPTIONAL
Standard ROPS/FOPS cab	•	
Comfort cab package		•
Heavy duty cab package		•
Integrated air conditioning	•	
Air-suspension cloth seat	•	
Adjustable armrests	•	
10-in (254 mm) touchscreen display	•	
Rear-vision camera	•	
Electronically programmable speed selector	•	
Electronic engine air cleaner service indicator	•	
Entertainment radio ready	•	
Radio, AM/FM/AUX/USB Bluetooth*		•
CAT TECHNOLOGY	STANDARD	OPTIONAL
Standard		
– Stable Blade	•	
– Traction Control		
– Slope Indicate		
ARO with Assist (Grade Ready + Assist Features)		
– Slope Assist		•
– Attachment Ready Option (ARO)		
– Third Party Grade Control Ready		
– Standard Features		
Cat Grade with 3D		
– Full-color 10-inch (254 mm) touchscreen grade display		•
– Grade receivers and antennas		
– AutoCarry		
– Grade Software Enabled Attachment (SEA)		
– ARO with Assist features		
Compatibility with radios and base stations from Trimble, Topcon, and Leica	•	
Capability to install 3D grade systems from Trimble, Topcon, and Leica	•	
Product Link – cellular	•	
Product Link – dual cellular/satellite		•
Remote Flash/Troubleshoot	•	

ELECTRICAL	STANDARD	OPTIONAL
105 amp brush-type alternator (24 volt)	•	
Backup alarm	•	
Diagnostic connector	•	
Integrated halogen lights – 4 front, 2 rear	•	
6 LED lights		•
8 LED lights – premium		•
Flashing beacon		•
UNDERCARRIAGE	STANDARD	OPTIONAL
Heavy Duty undercarriage	•	
Cat Abrasion undercarriage		•
Lifetime lubricated track rollers (8 + 2 carrier rollers) and idlers	•	
Track guiding guards – full, center, front/rear		•
SERVICE AND MAINTENANCE	STANDARD	OPTIONAL
Extended service intervals (1,000 hours* engine oil and filter, 1,000 hours power train)	•	
Ecology drains	•	
Fast fill ready		•
Bio hydraulic oil		•
Cold weather package (120V or 240V)		•
Shovel mounting bracket		•
High speed oil change		•
BLADES	STANDARD	OPTIONAL
VPAT blade	•	
Folding VPAT blade		•
Manual blade pitch	•	
Powered blade pitch		•
ATTACHMENTS	STANDARD	OPTIONAL
Ripper Ready package		•
Winch ready		•
Dual Ripper/Winch Ready package		•
Winch (dealer installed)		•
Ripper with curved or straight shanks		•
Drawbar		•
Rear counterweight		•
Front pull device	•	
Protection packages		•
Rear screen		•

*S-O-S sampling required. Please consult Operation and Maintenance Manual (OMM) for complete service information.

Not all features are available in all regions. Please check with your local Cat dealer for specific offering availability in your area. For additional information, refer to the Technical Specifications brochures for the D4 available at www.cat.com or your Cat dealer.

For more complete information on Cat products, dealer services and industry solutions, visit us on the web at www.cat.com.

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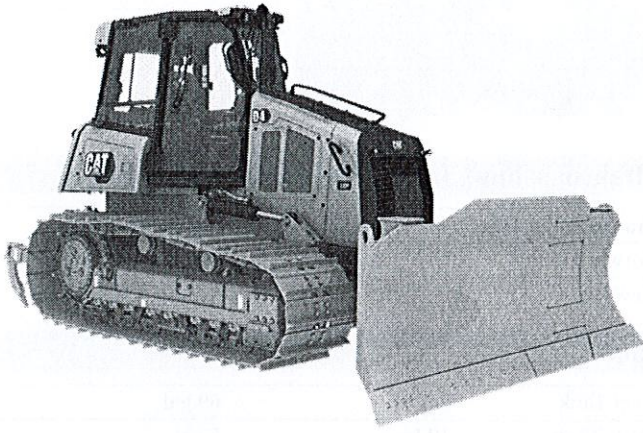
Materials and specifications are subject to change without notice. Featured machines in photos may include additional equipment. See your Cat dealer for available options.

CAT, CATERPILLAR, LET'S DO THE WORK, their respective logos, Product Link, Slope Assist, S-O-S, Abrasion, "Caterpillar Corporate Yellow", the "Power Edge" and Cat "Modern Hex" trade dress as well as corporate and product identity used herein, are trademarks of Caterpillar and may not be used without permission.

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AEXQ3233-01 (06-2021)
Replaces AEXQ3233
Build Number: 16A
(Aus-NZ, Eur, N Am, Japan,
S. Korea, Turkey)





D4

Track-Type Tractor

Technical Specifications

Configurations and features may vary by region. Please consult your Cat® dealer for availability in your area.

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D4 Track-Type Tractor Specifications

Engine

Engine Model	Cat® C4.4 with twin turbo	
Build Number	16A	
Emissions	U.S. EPA Tier 4 Final/ EU Stage V/Japan 2014/ Korea Tier 4 Final	
Net Power (2,100 rpm)		
SAE J1349	97 kW	130 hp
ISO 9249	97 kW	130 hp
ISO 9249 (DIN)	132 mhp	
Engine Power – Maximum (2,200 rpm)		
SAE J1995	119 kW	160 hp
ISO 14396	117 kW	157 hp
ISO 14396 (DIN)	159 mhp	
Bore	105 mm	4.13 in
Stroke	127 mm	4.99 in
Displacement	4.4 L	268.5 in ³

- Net power available at the flywheel when the engine is equipped with fan, air cleaner, aftertreatment, and alternator with engine speed at 2,100 rpm.
- Advertised power is tested per the specified standard in effect at the time of manufacture.
- No derating required up to 3000 m (9,840 ft) altitude, beyond 3000 m (9,840 ft) automatic derating occurs.
- All non-road Tier 4 Interim and Final, Stage IIIB, IV and V, Japan 2014 (Tier 4 Final) and Korea Tier 4 Final diesel engines are required to use only ultra-low sulfur diesel (ULSD) fuels containing 15 ppm (mg/kg) sulfur or less. Biodiesel blends up to B20 (20% blend by volume) are acceptable when blended with 15 ppm (mg/kg) sulfur or less ULSD. B20 should meet ASTM D7467 specification (biodiesel blend stock should meet Cat biodiesel spec, ASTM D6751 or EN 14214). Cat DEO-ULS™ or oils that meet the Cat ECF-3, API CJ-4, API CK-4 and/or ACEA E9 are required. Consult your OMM for further machine specific fuel recommendations.
- Diesel Exhaust Fluid (DEF) used in Cat Selective Catalytic Reduction (SCR) systems must meet the requirements outlined in the International Organization for Standardization (ISO) standard 22241.

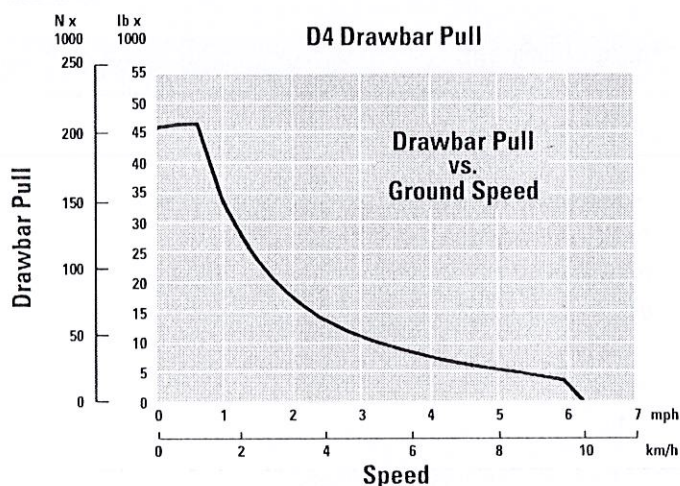
Transmission – Travel Speed

Transmission Type	Hydrostatic	
Forward	0-10 km/h	0-6.2 mph
Reverse	0-10 km/h	0-6.2 mph

Service Refill Capacities

Fuel Tank	260 L	69 gal
DEF Tank	19 L	5 gal
Cooling System	24 L	6.3 gal
Engine Crankcase	11 L	2.9 gal
Final Drives (each)	18.5 L	4.9 gal
Hydraulic Tank	64 L	16.9 gal

Drawbar Pull



D4 Track-Type Tractor Specifications

D4

Operating Weight*	13 272 kg	29,259 lb
Shipping Weight**	13 006 kg	28,673 lb
Ground Pressure (ISO 16754)	40.5 kPa	5.9 psi
Undercarriage (Standard)	40 Section/ 8 Bottom Rollers	
1 Track Gauge	1770 mm	70 in
2 Width of Track Shoe (Standard)	560 mm	22 in
3 Width of Tractor	2330 mm	92 in
4 Length of Track on Ground	2653 mm	1,104 in
Ground Contact Area (ISO 16754)	3.27 m ²	5,070 in ²
Grouser Height (Moderate/Extreme Service)	48/57 mm	1.9/2.2 in
Ground Clearance	350 mm	14.0 in
5 Machine Height***	2965 mm	117 in
6 Length of Basic Tractor****	4731 mm	181 in

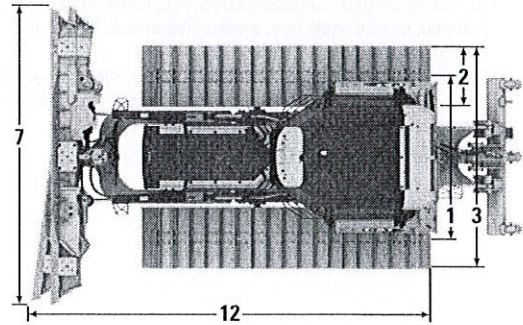
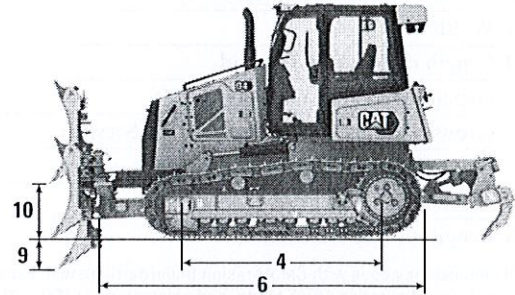
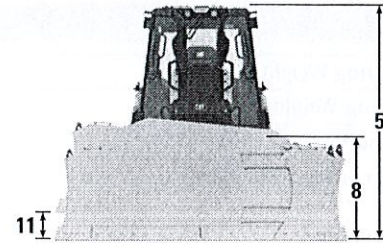
All dimensions above with Cat Abrasion™ undercarriage with Extreme Service shoes of maximum width for configuration, VPAT blade, and calculated per ISO 16754 unless otherwise specified.

*Operating weights: includes EROPS, A/C, lights, VPAT Dozer, VPAT blade, transmission, drawbar, engine enclosure, 3-valve hydraulics, 100% fuel, Cat Comfort Series air suspension seat and operator.

**Shipping weight includes EROPS, A/C, lights, VPAT Dozer, VPAT blade, transmission, drawbar, engine enclosure, 3-valve hydraulics, 10% fuel, Cat Comfort Series air suspension seat.

***Machine height from tip of grouser to top of ROPS cab.

****Length of Basic Tractor from blade to drawbar.



LGP Model with Foldable VPAT Blade Shown

Blades

Configuration	VPAT		Foldable VPAT	
	Capacity (ISO 9246)		Capacity (ISO 9246)	
Capacity (ISO 9246)	3.26 m ³	4.26 yd ³	3.26 m ³	4.26 yd ³
7 Width across End Bits	3196 mm	10.5 ft	3196 mm	10.5 ft
Width without End Bits	3097 mm	10.2 ft	3097 mm	10.2 ft
Width across End Bits (Blade Angled 24°)	2920 mm	115 in	2920 mm	115 in
Width without End Bits (Blade Angled 24°)	2829 mm	111.4 in	2829 mm	111.4 in
Width of the Machine (Foldable Blade Angled 24° for transportation purpose only)	—		2371 mm	93.3 in
Maximum Blade Angle	24°		24°	
8 Height	1291 mm	50.8 in	1291 mm	50.8 in
9 Dig Depth	470 mm	18.5 in	470 mm	18.5 in
10 Lift Height	953 mm	37.5 in	953 mm	37.5 in
11 Maximum Tilt at Blade Corner	226 mm	8.9 in	226 mm	8.9 in
Maximum Tilt Angle	8°		8°	
Pitch Adjustment	60° (cutting edge/ground, nominal); -2°/+4°			
12 Length of Machine (Blade Straight)	5142 mm	202.4 in	5142 mm	202.4 in
Length of Machine (Blade Angled 24°)	5738 mm	226.3 in	5738 mm	226.3 in
Blade Weight	1005 kg	2,215 lb	1195 kg	2,634.5 lb

D4 Track-Type Tractor Specifications

D4 LGP

Operating Weight*	14 008 kg	30,882 lb
Shipping Weight**	13 742 kg	30,296 lb
Ground Pressure (ISO 16754)	31 kPa	4.5 psi
Undercarriage (Standard)	40 Section/ 8 Bottom Rollers	
1 Track Gauge	2000 mm	79 in
2 Width of Track Shoe (Standard)	760 mm	30 in
3 Width of Tractor	2760 mm	109 in
4 Length of Track on Ground	2653 mm	104 in
Ground Contact Area (ISO 16754)	4.46 m ²	6,912 in ²
Grouser Height (Moderate/Extreme Service)	48/57 mm	1.9/2.2 in
Ground Clearance	350 mm	14.0 in
5 Machine Height***	2965 mm	117 in
6 Length of Basic Tractor****	4731 mm	181 in

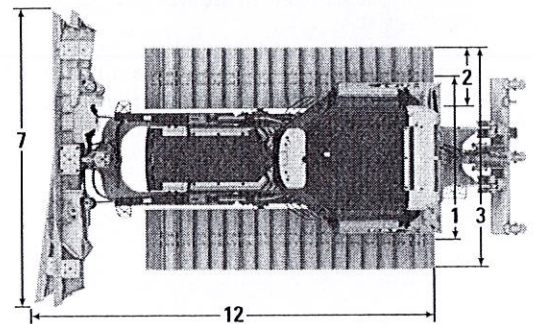
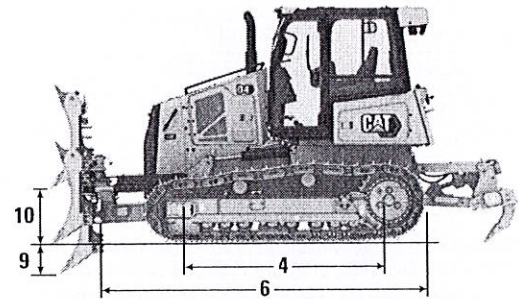
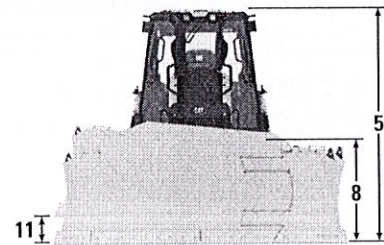
All dimensions above with Cat Abrasion undercarriage with Extreme Service shoes of maximum width for configuration, VPAT blade, and calculated per ISO 16754 unless otherwise specified.

*Operating weights: includes EROPS, A/C, lights, VPAT Dozer, VPAT blade, transmission, drawbar, engine enclosure, 3-valve hydraulics, 100% fuel, Cat Comfort Series air suspension seat and operator.

**Shipping weight includes EROPS, A/C, lights, VPAT Dozer, VPAT blade, transmission, drawbar, engine enclosure, 3-valve hydraulics, 10% fuel, Cat Comfort Series air suspension seat.

***Machine height from tip of grouser to top of ROPS cab.

****Length of Basic Tractor from blade to drawbar.



Foldable VPAT Blade Shown

Blades

Configuration	LGP VPAT		Foldable LGP VPAT	
Capacity (ISO 9246)	3.81 m ³	4.98 yd ³	3.81 m ³	4.98 yd ³
7 Width across End Bits	3684 mm	12.0 ft	3684 mm	12.0 ft
Width without End Bits	3573 mm	11.7 ft	3573 mm	11.7 ft
Width across End Bits (Blade Angled 24°)	3366 mm	132.5 in	3366 mm	132.5 in
Width without End Bits (Blade Angled 24°)	3264 mm	128.5 in	3264 mm	128.5 in
Width of the Machine (Foldable Blade Angled 24° for transportation purpose only)	—		2815 mm	110.8 in
Maximum Blade Angle	24°		24°	
8 Height	1323 mm	52.1 in	1323 mm	52.1 in
9 Dig Depth	470 mm	18.5 in	470 mm	18.5 in
10 Lift Height	953 mm	37.5 in	953 mm	37.5 in
11 Maximum Tilt at Blade Corner	260 mm	10.2 in	260 mm	10.2 in
Maximum Tilt Angle	8°		8°	
Pitch Adjustment	60° (cutting edge/ground, nominal); -2°/+4°			
12 Length of Machine (Blade Straight)	5142 mm	202.5 in	5142 mm	202.5 in
Length of Machine (Blade Angled 24°)	5837 mm	229.8 in	5837 mm	229.8 in
Blade Weight	1105 kg	2,436 lb	1306 kg	2,879 in

D4 Track-Type Tractor Specifications

Track Shoes

Some track shoes not available in all regions. Please consult your Cat dealer for details.

Standard		
510 mm (20 in)	Cat Abrasion™	Moderate Service
510 mm (20 in)	Cat Abrasion	Extreme Service
560 mm (22 in)	Cat Abrasion	Moderate Service
560 mm (22 in)	Cat Abrasion	Extreme Service
510 mm (20 in)	Heavy Duty	Extreme Service
560 mm (22 in)	Heavy Duty	Extreme Service
LGP		
760 mm (30 in)	Cat Abrasion	Moderate Service
760 mm (30 in)	Cat Abrasion	Extreme Service
760 mm (30 in)	Cat Abrasion XL	Extended Life/Extreme Abrasion
760 mm (30 in)	Heavy Duty	Extreme Service
760 mm (30 in)	Heavy Duty	Self-Cleaning

Heavy Duty/Forestry Dozer

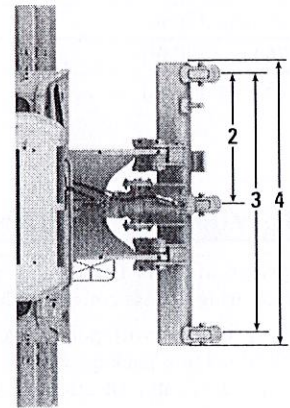
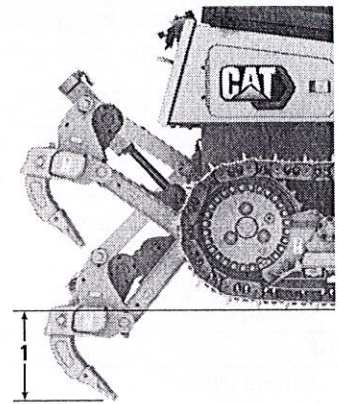
You can outfit your D4 with a variety of factory options designed to provide added protection in heavy-duty applications like forestry and land clearing. Please consult with your Cat dealer about the variety of options available to best equip your dozer for the work that you do:

- Heavy duty cab with polycarbonate windows
- Cab protection package with sweeps and rear screen
- Heavy Duty cab protection package with sweeps, rear screen, side screen, rear light guards
- Rear screen
- Heavy duty front protection package with heavy duty radiator grill and standard crankcase guard
- Heavy duty protection package with heavy duty radiator grill, heavy duty fuel tank guard, heavy duty crankcase guard (also available for fast fill/fast fill ready models)
- Heavy duty undercarriage
- Extreme service track shoes with Heavy duty undercarriage
- Track guiding guards
- Six or eight LED lights
- Flashing beacon

D4 Track-Type Tractor Specifications

Ripper

Type Fixed	Parallelogram	
1 Maximum Penetration Force		
D4	42.2 kN	9,480 lb
D4 LGP	45.1 kN	10,138 lb
Maximum Pry-out Force		
D4	166.7 kN	37,480 lb
D4 LGP	166.7 kN	37,480 lb
2 Pocket Spacing	896 mm	35.3 in
3 Shank Gauge	1792 mm	70.6 in
Shank Section	58.5 mm × 138 mm	2.3 in × 5.4 in
Number of Pockets	3	
4 Overall Beam Width	1951 mm	76.8 in
Beam Cross Section	165 mm × 211 mm	6.5 in × 8.3 in
Maximum Penetration	360 mm	14.2 in
Weight with One Shank	845 kg	1,863 lb
Each Additional Shank	34 kg	75 lb



Winch

Winch Model	PA50	
Winch Drive	Hydrostatic	
Weight*	907 kg	2,000 lb
Winch and Bracket Length	845 mm	33.2 in
Winch Case Width	740 mm	29.1 in
Drum Diameter	205 mm	8 in
Drum Width	274 mm	11 in
Flange Diameter	457 mm	18 in
Drum Capacity (recommended rope)	93 m	306 ft
Drum Capacity (optional rope)	67 m	220 ft
Rope Recommended Diameter	19 mm	0.75 in
Optional Cable Size	22 mm	0.87 in
Cable Ferrule Size (O.D.)	54 mm	2.13 in
Cable Ferrule Size (length)	67 mm	2.63 in
Maximum Bare Drum		
Line Pull	222.4 kN	50,000 lbf
Line Speed	38 m/min	124 ft/min
Maximum Full Drum		
Line Pull	115.7 kN	26,000 lbf
Line Speed	70 m/min	230 ft/min

*Weight includes pump, operator controls, oil, mounting brackets and spacers.

D4 Track-Type Tractor Specifications

Standards

ROPS/FOPS/OPS

- ROPS (Rollover Protective Structure) offered by Caterpillar for the machine meets ROPS criteria ISO 3471:2008.
- FOPS (Falling Object Protective Structure) meets ISO 3449:2005 Level II.
- OPS (Operator Protective Structure) screens meet OPS criteria per ISO 8084:2003 and WCB G604:2011.

Brakes

- Brakes meet the standard ISO 10265:2008.

Sound and Vibration – Cab

Sound Level Information

- The declared dynamic operator sound pressure level is 76 dB(A) when “ISO 6396:2008” is used to measure the value for an enclosed cab. The measurements were conducted at 70% of the maximum engine cooling fan speed. The sound level may vary at different engine cooling fan speeds. The cab was properly installed and maintained. The measurements were conducted with the cab doors and the cab windows closed.

NOTE: The dynamic operator sound pressure level uncertainty is ± 2 dB(A).

- Hearing protection may be needed when the machine is operated with an open operator station, in a noisy environment, or with a cab that is not properly maintained.
- The guaranteed exterior sound power level is 109 dB(A) when the value is measured according to the dynamic test procedures and the conditions that are specified in “ISO 6395:2008.” The measurements were conducted at 70% of the maximum engine cooling fan speed. The sound level may vary at different engine cooling fan speeds.
- Sound Level Information for Machines in European Union Countries and in Countries that Adopt the “EU Directives.” The information below applies to only the machine configurations that have the “CE” mark on the Product Identification Plate. If equipped, the certification label – 109 dB(A) – is used to verify the environmental sound certification of the machine to the requirements of the European Union. The value that is listed on the label indicates the guaranteed exterior sound power level (L_{WA}) at the time of manufacture for the conditions that are specified in “2000/14/EC.”

Sustainability – Sound and Vibration Levels

Sound Levels

Guaranteed Exterior Sound Power

2000/14/EC ISO 6395:2008	109 dB(A)
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Dynamic Operator Sound Pressure Level (L_{WA})

ISO 6396:2008	76 dB(A)
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Vibration Levels

- The hand/arm vibration per ISO 5349:2001 of this machine is below 2.5 m/s^2 , for an experienced operator in a dozing application.
- The whole body vibration per ISO/TR25398:2006 of this machine is below 0.5 m/s^2 for an experienced operator in a dozing application.
- Operator’s seat meets the input “spectral class EM6” according to ISO 7096:2000. Seat has a transmissibility factor of “SEAT<0.7.”

Air Conditioning System

The air conditioning system on this machine contains the fluorinated greenhouse gas refrigerant R134a (Global Warming Potential = 1430). The system contains 1.6 kg of refrigerant which has a CO₂ equivalent of 2.288 metric tons.

D4 Track-Type Tractor Specifications

Technology Features

The broadest choice of technology features helps you get the most from your dozer.

GRADE	Premium Display	Grade with Slope Assist	Grade with 3D
Grade with 3D	—	+ ¹	✓
Third Party Grade Control Ready	✓	✓	✓
ASSIST			
Slope Indicate			
Stable Blade	✓	✓	✓
Traction Control			
Slope Assist	—	✓	✓
VISION/DETECT			
High Definition (HD) Rear Camera with Backup Lines	✓	✓	✓
LINK			
Product Link™ Cellular	✓	✓	✓
Product Link Dual Mode	⊕	⊕	⊕
Remote Flash/Troubleshoot	✓	✓	✓
Grade Connectivity	—	✓	✓
OPERATOR FEATURES			
Operator ID ²	✓	✓	✓
Machine Security – Passcode ²	✓	✓	✓
Machine Security – Bluetooth ^{*2}	⊕	⊕	⊕

¹Requires Software Enabled Attachment (SEA)

²Contact Dealer to Enable

✓ Standard

+ Dealer Install Option

⊕ Factory Option

D4 Standard and Optional Equipment

Standard and Optional Equipment

Standard and optional equipment may vary. Consult your Cat dealer for details.

	Standard	Optional		Standard	Optional
POWER TRAIN			OPERATOR ENVIRONMENT		
Cat C4.4 diesel engine	✓		Cab – Standard ROPS/FOPS (air suspended seat, joystick controls)	✓	
U.S. EPA Tier 4 Final/EU Stage V/ Japan 2014/Korea Tier 4 Final Certified Engine with Aftertreatment	✓		Cab – Comfort Package (heated joystick controls, heated and ventilated seat)		✓
ADEM A6 Electronic Control Module	✓		Cab – Heavy Duty Package (polycarbonate windows, air suspended seat, joystick controls)		✓
Air-to-air aftercooling	✓		Cloth air suspension seat	✓	
Glow plug starting aid	✓		Heated/ventilated seat		✓
3000 m (9,840 ft) altitude operation capability without derating	✓		10-inch (254 mm) touchscreen display	✓	
Hydraulically driven, variable speed fan	✓		Rear view camera	✓	
Auto-reversing fan		✓	Electro-hydraulic implement and steering controls	✓	
Aluminum bar plate cooling system (radiator, power train, aftercooler)	✓		Electronically programmable speed selector	✓	
Air cleaner with integrated precleaner, dust ejector and under hood air intake	✓		Adjustable armrests	✓	
Air cleaner with turbine precleaner		✓	Heated joystick controls		✓
Electrical lift/priming pump	✓		Retractable seat belt, 76 mm (3 in)	✓	
Engine decelerating function (rotary switch and pedal engine speed control)	✓		12V radio ready (plug and play)	✓	
Hydrostatic, infinite variable speed transmission	✓		Radio – AM/FM/AUX/USB/Bluetooth		✓
Selections and electronic control enhancements for the transmission/ engine system	✓		Footrests for slope work	✓	
Programmable/selectable bi-directional shifting	✓		Integrated air conditioning with automatic temperature control	✓	
Engine Idle Shutdown	✓		Electronic engine air cleaner service indicator	✓	
Auto Engine Speed Control	✓		Electronic water-in-fuel switch	✓	
			Product Link ready GSM or Satellite	✓	
			Intermittent wiper	✓	
			Storage compartments	✓	
			Cup holder	✓	
			Coat hook	✓	
			Rear view mirror	✓	

(continued on next page)

D4 Standard and Optional Equipment

Standard and Optional Equipment *(continued)*

Standard and optional equipment may vary. Consult your Cat dealer for details.

	Standard	Optional		Standard	Optional
CAT TECHNOLOGY			UNDERCARRIAGE		
Standard technology features:	✓		Heavy Duty Undercarriage	✓	
– Slope Indicate			Cat Abrasion Undercarriage		✓
– Stable Blade			Cat Abrasion Extended Life Undercarriage		✓
– Traction Control			Center-tread, sprocketed idler with Cat Abrasion or standard idler with Heavy Duty	✓	
– Third Party Grade Control Ready			Lifetime lubricated track rollers (8 + 2 carrier rollers) and idlers	✓	
Grade with Slope Assist (Grade Ready + Assist Features):		✓	Tracks: 40 sections – 560 mm (22 in) Heavy Duty Extreme Service (ES) for D4	✓	
– Slope Assist			Tracks: 40 sections – 760 mm (30 in) Heavy Duty Extreme Service (ES) for D4 LGP	✓	
– Attachment Ready Option (ARO)			Hydraulic track adjusters	✓	
– Standard technology features			Center track guiding guard (LGP only)	✓	
Cat Grade with 3D:		✓	Replaceable sprocket rim segments	✓	
– Full-color 10-inch (254 mm) touchscreen grade display			Full track guiding guard		✓
– Grade receivers and antennas			Front and rear track guiding guard		✓
– AutoCarry™			Center track guiding guard – Cat Abrasion Extended Life		✓
– Grade Software Enabled Attachment (SEA)					
– Grade with Slope Assist features			BLADES		
Compatibility with radios and base stations from Trimble, Topcon, and Leica	✓		VPAT blade	✓	
Capability to install 3D grade systems from Trimble, Topcon, and Leica	✓		Foldable VPAT blade		✓
Product Link, Cellular	✓		Manual blade pitch	✓	
Product Link – Dual Cellular/Satellite		✓	Powered blade pitch		✓
Remote Flash/Troubleshoot	✓		Blade Shake	✓	
Operator ID	✓		HYDRAULICS		
Machine Security – Passcode	✓		Three valve-hydraulics	✓	
Machine Security – Bluetooth		✓	Load sensing hydraulics	✓	

(continued on next page)

D4 Standard and Optional Equipment

Standard and Optional Equipment (continued)

Standard and optional equipment may vary. Consult your Cat dealer for details.

	Standard	Optional		Standard	Optional
ELECTRICAL			ATTACHMENTS		
Horn	✓		Front pull device	✓	
Back-up alarm	✓		Rigid drawbar	✓	
12V converter, 10A diagnostic connector	✓		Ripper ready package		✓
950 CCA class 31 batteries	✓		Ripper ready package, powerpitch		✓
Six halogen lights	✓		Winch ready package		✓
Six LED lights		✓	Dual (ripper and winch) ready package		✓
Eight LED lights, Premium		✓	Dual (ripper and winch) ready package, powerpitch		✓
Flashing beacon		✓	Ripper package, curved		✓
105 Amp brush-type alternator (24 volt)	✓		Ripper package, straight		✓
24V electric starter	✓		Winch preparation		✓
Cold weather starter		✓	Drawbar	✓	
Cold weather package (120V)		✓	Counterweight, rear		✓
Cold weather package (240V)		✓	Counterweight, rear slab		✓
Heated, insulated breather		✓	Rear attachment, none		✓
SERVICE AND MAINTENANCE			DEALER INSTALLED ATTACHMENTS		
Fast fuel fill		✓	Hydraulic winch arrangement		✓
Shovel mounting bracket		✓	Fairlead, three rollers		✓
Fuel refilling pump		✓	Fourth roller conversion kit		✓
High speed oil change		✓	Winch step		✓
Antifreeze coolant (-37° C/-34.6° F)	✓		GUARDING		
Extended life coolant	✓		Standard protection package (bottom guard, fan guard)	✓	
Cat HYDO™ Advanced 10 hydraulic fluid	✓		Front protection package		✓
Bio hydraulic oil		✓	Heavy duty protection package		✓
Extended service intervals (1,000 hours* engine oil and filter, 1,000 hours power train)	✓		CAB PROTECTION		
Ecology drains (engine oil, engine coolant, hydraulic)	✓		Cab standard protection package (sweeps, rear screen)		✓
Scheduled Oil Sampling (S-O-S SM) ports (engine, hydrostatic, hydraulics and engine coolant)	✓		Cab heavy duty protection package (sweeps, rear screen, side screens, rear light guards)		✓
Hinged radiator louvered grill	✓		Cab rear screen		✓
			OTHER STANDARD EQUIPMENT		
			C-Frame, cylinders and lines	✓	
			Crankcase guard	✓	
			Perforated engine enclosures	✓	
			Lockable engine enclosures	✓	

*S-O-S sampling required. Please consult Operation and Maintenance Manual (OMM) for complete service information.

For more complete information on Cat products, dealer services, and industry solutions, visit us on the web at www.cat.com

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AEXQ3213-01 (06-2021)
Replaces AEXQ3213
Build Number: 16A
(Aus-NZ, Eur, Jpn,
N Am, S Korea, Turkey)



Effective with sales to the first user on or after June 1, 2015

CATERPILLAR LIMITED WARRANTY

For Selected Machine Models Designated by Caterpillar with 12 Month/Unlimited Hour Warranty

Worldwide

Caterpillar Inc. or any of its subsidiaries ("Caterpillar") warrants the following products sold by it to be free from defects in material and workmanship:

- New earthmoving, construction, material handling, forestry product, paving product, compact wheel loader, mini hydraulic excavator, skid steer loader, multi terrain loader, and compact track loader machines designated by Caterpillar as having 12-months/unlimited hour warranty. See your Cat® dealer for a complete listing of covered models.

- Attachments/work tools installed on such machines prior to delivery (unless covered by the Cat Work Tool warranty statement or another manufacturer's warranty). Hammer tool points and compacting plates used on hydraulic hammers are not warranted.

An additional warranty against breakage is applicable to certain Cat ground engaging tools. An additional warranty against wear is applicable to all landfill compactor tips when used in residential waste landfills. Refer to the applicable warranty statements for coverage detail.

This warranty does not apply to:

- Cat Batteries
- Mobil-trac belts, rubber tracks used on multi terrain loaders, compact track loaders, and mini hydraulic excavators
- Cat Work Tools
- Select models designated by Caterpillar that are sold in India and China

These products are covered by other Caterpillar warranties.

This warranty is subject to the following:

Warranty Period

For new machines and work tools/attachments the warranty period is 12-months/unlimited hours, starting from date of delivery to the first user.

Note:

- For hydraulic line's quick connect/disconnect components sold on compact wheel loaders, mini hydraulic excavators, skid steer loaders, multi terrain loaders, and compact track loader machines, the warranty period is 50 hours starting from the date of delivery to the first user.
- For Draglines, Electric Rope Shovels, Hard Rock Movers, Hard Rock Feeders; the warranty period is not to exceed 24 months from shipment of the last major component from the Caterpillar place of manufacture.

Caterpillar Responsibilities

If a defect in material or workmanship is found during the warranty period, Caterpillar will, during normal working hours and at a place of business of a Cat dealer or other source approved by Caterpillar:

- Provide (at Caterpillar's choice) new, remanufactured, or Caterpillar approved repaired parts or assembled components needed to correct the defect.

Note: New, remanufactured, or Caterpillar approved replacement parts provided under the terms of this warranty are warranted for the remainder of the warranty period applicable to the product in which installed as if such parts were original components of that product. Items replaced under this warranty become the property of Caterpillar.

- Replace lubricating oil, filters, antifreeze, and other service items made unusable by the defect.
- Provide reasonable and customary labor needed to correct the defect.

User Responsibilities

The user is responsible for:

- Providing proof of delivery date to the first user.

- Labor costs, except as stated under "Caterpillar Responsibilities."
- Transportation costs, except as stated under "Caterpillar Responsibilities."
- Premium or overtime labor costs.
- Parts shipping charges in excess of those that are considered usual and customary.
- Local taxes, if applicable.
- Costs to investigate complaints, unless the problem is caused by a defect in Caterpillar material or workmanship.
- Giving timely notice of a warrantable failure and promptly making the product available for repair.
- Performance of the required maintenance (including use of proper fuel, oil, lubricants, and coolant) and items replaced due to normal wear and tear.
- Allowing Caterpillar access to all electronically stored data.

Limitations

Caterpillar is not responsible for:

- Failures resulting from any use or installation that Caterpillar judges improper.
- Failures resulting from attachments, accessory items, and parts not sold or approved by Caterpillar.
- Failures resulting from abuse, neglect, and/or improper storage or repair.
- Failures resulting from user's delay in making the product available after being notified of a potential product problem.
- Failures resulting from unauthorized repair or adjustments, and unauthorized fuel setting changes.

(Continued on the reverse side....)

This warranty covers every major component of the products. Claims under this warranty should be submitted to a place of business of a Cat dealer or other source approved by Caterpillar. For further information concerning either the location to submit claims or Caterpillar as the issuer of this warranty, write Caterpillar Inc., 100 N. E. Adams St., Peoria, IL USA 61629.

Caterpillar's obligations under this Limited Warranty are subject to, and shall not apply in contravention of, the laws, rules, regulations, directives, ordinances, orders, or statutes of the United States, or of any other applicable jurisdiction, without recourse or liability with respect to Caterpillar.

A) For products operating outside of Australia, Fiji, Nauru, New Caledonia, New Zealand, Papua New Guinea, the Solomon Islands, and Tahiti, the following is applicable:

NEITHER THE FOREGOING EXPRESS WARRANTY NOR ANY OTHER WARRANTY BY CATERPILLAR, EXPRESS OR IMPLIED, IS APPLICABLE TO ANY ITEM CATERPILLAR SELLS THAT IS WARRANTED DIRECTLY TO THE USER BY ITS MANUFACTURER.

THIS WARRANTY IS EXPRESSLY IN LIEU OF ANY OTHER WARRANTIES, EXPRESS OR IMPLIED, INCLUDING ANY WARRANTY OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE, EXCEPT CATERPILLAR EMISSION-RELATED COMPONENTS WARRANTY FOR NEW ENGINES, WHERE APPLICABLE. REMEDIES UNDER THIS WARRANTY ARE LIMITED TO THE PROVISION OF MATERIAL AND SERVICES, AS SPECIFIED HEREIN.

CATERPILLAR IS NOT RESPONSIBLE FOR INCIDENTAL OR CONSEQUENTIAL DAMAGES.

CATERPILLAR EXCLUDES ALL LIABILITY FOR OR ARISING FROM ANY NEGLIGENCE ON ITS PART OR ON THE PART OF ANY OF ITS EMPLOYEES, AGENTS, OR REPRESENTATIVES IN RESPECT OF THE MANUFACTURE OR SUPPLY OF GOODS OR THE PROVISION OF SERVICES RELATING TO THE GOODS.

IF OTHERWISE APPLICABLE, THE VIENNA CONVENTION ON CONTRACTS FOR THE INTERNATIONAL SALE OF GOODS IS EXCLUDED IN ITS ENTIRETY.

B) For products operating in Australia, Fiji, Nauru, New Caledonia, New Zealand, Papua New Guinea, the Solomon Islands, and Tahiti, the following is applicable:

THIS WARRANTY IS IN ADDITION TO WARRANTIES AND CONDITIONS IMPLIED BY STATUTE AND OTHER STATUTORY RIGHTS AND OBLIGATIONS THAT BY ANY APPLICABLE LAW CANNOT BE EXCLUDED, RESTRICTED OR MODIFIED ("MANDATORY RIGHTS"). ALL OTHER WARRANTIES OR CONDITIONS, EXPRESS OR IMPLIED (BY STATUTE OR OTHERWISE), ARE EXCLUDED, WITHOUT LIMITING THE FOREGOING PROVISIONS OF THIS PARAGRAPH, WHERE A PRODUCT IS SUPPLIED FOR BUSINESS PURPOSES, THE CONSUMER GUARANTEES UNDER THE CONSUMER GUARANTEES ACT 1993 (NZ) WILL NOT APPLY.

NEITHER THIS WARRANTY NOR ANY OTHER CONDITION OR WARRANTY BY CATERPILLAR, EXPRESS OR IMPLIED (SUBJECT ONLY TO THE MANDATORY RIGHTS), IS APPLICABLE TO ANY ITEM CATERPILLAR SELLS THAT IS WARRANTED DIRECTLY TO THE USER BY ITS MANUFACTURER.

IF THE MANDATORY RIGHTS MAKE CATERPILLAR LIABLE IN CONNECTION WITH SERVICES OR GOODS, THEN TO THE EXTENT PERMITTED UNDER THE MANDATORY RIGHTS, THAT LIABILITY SHALL BE LIMITED AT CATERPILLAR'S OPTION TO (a) IN THE CASE OF SERVICES, THE SUPPLY OF THE SERVICES AGAIN OR THE PAYMENT OF THE COST OF HAVING THE SERVICES SUPPLIED AGAIN AND (b) IN THE CASE OF GOODS, THE REPAIR OR REPLACEMENT OF THE GOODS, THE SUPPLY OF EQUIVALENT GOODS, THE PAYMENT OF THE COST OF SUCH REPAIR OR REPLACEMENT OR THE ACQUISITION OF EQUIVALENT GOODS.

CATERPILLAR EXCLUDES ALL LIABILITY FOR OR ARISING FROM ANY NEGLIGENCE ON ITS PART OR ON THE PART OF ANY OF ITS EMPLOYEES, AGENTS OR REPRESENTATIVES IN RESPECT OF THE MANUFACTURE OR SUPPLY OF GOODS OR THE PROVISION OF SERVICES RELATING TO THE GOODS.

CATERPILLAR IS NOT LIABLE FOR INCIDENTAL OR CONSEQUENTIAL DAMAGES UNLESS IMPOSED UNDER MANDATORY RIGHTS. IF OTHERWISE APPLICABLE, THE VIENNA CONVENTION (CONTRACTS FOR THE INTERNATIONAL SALE OF GOODS) IS EXCLUDED IN ITS ENTIRETY.

C) For products supplied in Australia:

IF THE PRODUCTS TO WHICH THIS WARRANTY APPLIES ARE:

- I. PRODUCTS OF A KIND ORDINARILY ACQUIRED FOR PERSONAL, DOMESTIC OR HOUSEHOLD USE OR CONSUMPTION; OR
- II. PRODUCTS THAT COST AUD 40,000 OR LESS,

WHERE THOSE PRODUCTS WERE NOT ACQUIRED FOR THE PURPOSE OF RE-SUPPLY OR FOR THE PURPOSE OF USING THEM UP OR TRANSFORMING THEM IN THE COURSE OF PRODUCTION OR MANUFACTURE OR IN THE COURSE OF REPAIRING OTHER GOODS OR FIXTURES, THEN THIS SECTION C APPLIES.

THE FOLLOWING MANDATORY TEXT IS INCLUDED PURSUANT TO THE AUSTRALIAN CONSUMER LAW AND INCLUDES REFERENCES TO RIGHTS THE USER MAY HAVE AGAINST THE DIRECT SUPPLIER OF THE PRODUCTS: OUR GOODS COME WITH GUARANTEES THAT CANNOT BE EXCLUDED UNDER THE AUSTRALIAN CONSUMER LAW. YOU ARE ENTITLED TO A REPLACEMENT OR REFUND FOR A MAJOR FAILURE AND COMPENSATION FOR ANY OTHER REASONABLY FORESEEABLE LOSS OR DAMAGE. YOU ARE ALSO ENTITLED TO HAVE THE GOODS REPAIRED OR REPLACED IF THE GOODS FAIL TO BE OF ACCEPTABLE QUALITY AND THE FAILURE DOES NOT AMOUNT TO A MAJOR FAILURE. THE INCLUSION OF THIS TEXT DOES NOT CONSTITUTE ANY REPRESENTATION OR ACCEPTANCE BY CATERPILLAR OF LIABILITY TO THE USER OR ANY OTHER PERSON IN ADDITION TO THAT WHICH CATERPILLAR MAY HAVE UNDER THE AUSTRALIAN CONSUMER LAW.

TO THE EXTENT THE PRODUCTS FALL WITHIN THIS SECTION C BUT ARE NOT OF A KIND ORDINARILY ACQUIRED FOR PERSONAL, DOMESTIC OR HOUSEHOLD USE OR CONSUMPTION, CATERPILLAR LIMITS ITS LIABILITY TO THE EXTENT IT IS PERMITTED TO DO SO UNDER THE AUSTRALIAN CONSUMER LAW TO, AT ITS OPTION, THE REPAIR OR REPLACEMENT OF THE PRODUCTS, THE SUPPLY OF EQUIVALENT PRODUCTS, OR THE PAYMENT OF THE COST OF SUCH REPAIR OR REPLACEMENT OR THE ACQUISITION OF EQUIVALENT PRODUCTS.

THE WARRANTY SET OUT IN THIS DOCUMENT IS GIVEN BY CATERPILLAR INC. OR ANY OF ITS SUBSIDIARIES, 100 N. E. ADAMS ST., PEORIA, IL USA 61629, TELEPHONE 1 309 675 1000. THE USER IS RESPONSIBLE FOR ALL COSTS ASSOCIATED WITH MAKING A CLAIM UNDER THE WARRANTY SET OUT IN THIS DOCUMENT, EXCEPT AS EXPRESSLY STATED OTHERWISE IN THIS DOCUMENT, AND THE USER IS REFERRED TO THE BALANCE OF THE DOCUMENT TERMS CONCERNING CLAIM PROCEDURES, CATERPILLAR RESPONSIBILITIES AND USER RESPONSIBILITIES.

TO THE EXTENT PERMISSIBLE BY LAW, THE TERMS SET OUT IN THE REMAINDER OF THIS WARRANTY DOCUMENT (INCLUDING SECTION B) CONTINUE TO APPLY TO PRODUCTS TO WHICH THIS SECTION C APPLIES.

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CONTROL YOUR COSTS MINIMIZE YOUR RISKS

This plan safeguards your investments in new, used and rebuilt machines beyond the standard warranty period. It includes all parts and labor to protect you against failures caused by defects in materials and workmanship. With the Powertrain Equipment Protection Plan, you can increase the predictability of service and maintenance costs—and reduce unplanned downtime.

WHAT WE DO

- Perform necessary inspections to confirm eligibility
- Install parts approved by Caterpillar on covered repairs
- Validate your enrollment in the program

WHAT YOU DO

- Operate equipment according to the Cat Operation & Maintenance Manual (OMM)
- Have recommended preventive maintenance performed at intervals specified in the OMM
- Upon request, provide proof of preventive maintenance compliance (receipts, copies of work orders, invoices)
- Promptly provide the machine for repair in the event of a covered failure

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, contact your local Cat dealer.

Hydrostatic Pumps &

Drive Motors
Linkage / lines Connected to
Hystat Pump
Drive (pilot / eh) Control Valves
Bevel and Transfer Case

Powertrain/Driveshaft

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

Steering

Steering Clutch
Steering Clutch & Brake Control Valve

Hydraulic Systems

Hydraulic Oil Coolers

Camshaft & Camshaft Bearings

Timing / Accessory Gears
Timing Chain / Belt
Inlet / Exhaust Valve
Valve Cover & Base
Valve Spring & Guide
Rocker Arm
Rocker Shaft Assembly
Push Rod
Balancer
Fuel Pump / Governor Drive
Oil Pump
Oil Pan Group
Fan & Fan Drive

Transmission

Transmissions
Hydraulic Controls
Transmission Oil Filter Base
Transmission Gears
Final Drives/Planetary
Drive Shafts
Transfer Case

Engine - Internal Components

Oil Cooler
Manifolds
Fan Motor
Water Pump
Fuel Injection Pumps
Injectors
Lift / Transfer Pump
Senders / Solenoids / Sensors
Thermostat
Flywheel & Torque Converter
Engine Oil Filter Mount
Turbocharger
AC Compressor / Condenser
Electronic Control Modules
Oil Hoses / Lines (non-hydrostatic)

Cylinder Block

Piston
Piston Rings
Piston & Connecting Rod
Crankshaft, Main Bearings & Rod Bearings



Employment Eligibility Verification

Welcome
Teresa Milton

User ID
TMOFG402

Last Login
09:22 AM - 01/06/2012

Log Out

Click any for help

Home

My Cases

View Case

View Cases

Search Cases

My Profile

Edit Profile

Change Password

Change Security Questions

My Company

Edit Company Profile

Add New User

View Existing Users

Close Company Account

My Reports

View Reports

My Resources

View Essential Resources

Take Tutorial

View User Manual

Contact Us

Company Information

Company Name: Thompson Tractor Co., Inc.

[View / Edit](#)

Company ID Number: 47130

Doing Business As (DBA) Name:

DUNS Number:

Physical Location:

Address 1: 2401 Pinson Highway

Address 2:

City: Birmingham

State: AL

Zip Code: 35217

County: JEFFERSON

Mailing Address:

Address 1: P O. Box 10367

Address 2:

City: Birmingham

State: AL

Zip Code: 35202-0367

Additional Information:

Employer Identification Number: 630377478

Total Number of Employees: 1,000 to 2,499

Parent Organization:

Administrator:

Organization Designation:

Employer Category:

NAICS Code: 423 - MERCHANT WHOLESALERS, DURABLE GOODS

[View / Edit](#)

Total Hiring Sites: 40

[View / Edit](#)

Total Points of Contact: 3

[View / Edit](#)

[View MOU](#)

Company ID Number: 47130

the Employer issues a tentative nonconfirmation based upon a photo non-match. The Employer will determine whether the employee contests the tentative nonconfirmation as soon as possible after the Employer receives it.

4. If the employee contests a tentative nonconfirmation issued by DHS, the Employer will provide the employee with a referral letter and instruct the employee to contact the Department through its toll-free hotline within 8 Federal Government work days.

5. If the employee contests a tentative nonconfirmation based upon a photo non-match, the Employer will provide the employee with a referral letter to DHS. DHS will electronically transmit the result of the referral to the Employer within 10 Federal Government work days of the referral unless it determines that more than 10 days is necessary.

6. The Employer agrees that if an employee contests a tentative nonconfirmation based upon a photo non-match, the Employer will send a copy of the employee's Form I-551 or Form I-766 to DHS for review by:

- Scanning and uploading the document, or
- Sending a photocopy of the document by an express mail account (furnished and paid for by DHS).

7. The Employer understands that if it cannot determine whether there is a photo match/non-match, the Employer is required to forward the employee's documentation to DHS by scanning and uploading, or by sending the document as described in the preceding paragraph, and resolving the case as specified by the Immigration Services Verifier at DHS who will determine the photo match or non-match.

ARTICLE IV

SERVICE PROVISIONS

The SSA and DHS will not charge the Employer for verification services performed under this MOU. The Employer is responsible for providing equipment needed to make inquiries. To access the E-Verify System, an Employer will need a personal computer with Internet access.

ARTICLE V

PARTIES

This MOU is effective upon the signature of all parties, and shall continue in effect for as long as the SSA and DHS conduct the E-Verify program unless modified in writing by the mutual consent of all parties, or terminated by any party upon 30 days prior written notice to the others. Any and all system enhancements to the E-Verify program by DHS or SSA, including but not limited to the E-Verify checking against additional data sources and instituting new verification procedures, will be covered under this MOU and will not cause the need for a supplemental MOU that outlines these changes. DHS agrees to train employers on all changes made to E-Verify through the use of mandatory refresher tutorials and updates to the E-Verify manual. Even

Request for Taxpayer Identification Number and Certification

Give form to the requester. Do not send to the IRS.

Print or type
See Specific Instructions on page 2.

Name (as shown on your income tax return) Thompson Tractor Co., Inc. DBA Thompson Power Systems, Thompson Lift Truck Co.	
Business name, if different from above and The Cat Rent Store	
Check appropriate box: <input type="checkbox"/> Individual/Sole proprietor <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶ <input checked="" type="checkbox"/> Exempt payee <input type="checkbox"/> Other (see instructions) ▶	
Address (number, street, and apt. or suite no.) P O Box 10367 2401 Pinson Hwy. Tarrant, AL 35217	Requester's name and address (optional)
City, state, and ZIP code Birmingham, AL 35202-0367	
List account number(s) here (optional) Lockbox Remit To: P O Box 934065, Atlanta, GA 31193-4005	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I Instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number : : :
or
Employer identification number 63 : 0377478

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Certification Instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the Instructions on page 4.

Sign Here	Signature of U.S. person ▶ <i>Linda K. Duncan, Controller</i>	Date ▶
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity.