

BID SUBMITTAL FORM
Alabama County Joint Bidding Program
BID ITEM – 100 HP HYDROSTATIC BULLDOZER – OPTION B

Company Name: THOMPSON TRACTOR COMPANY

Address: PO BOX 10367

BIRMINGHAM AL 24202-0367

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.

JAS

That the bid price will be honored for all counties for the period from Jan. 1, 2024 to Dec. 31, 2024.

JAS

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

JAS

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

JAS

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

JAS

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

JAS

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

JAS

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

JAS

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

JAS

100 HP HYDROSTATIC BULLDOZER – OPTION B

Total Bid Price for Standard Machine: \$ 193,894

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

Freight Preparation and Delivery: \$ 6,718

(Included in Standard Machine Bid Price)

Manufacturer's Suggested Retail Price for Standard Machine: \$ 259,967

Equipment Model #: CATERPILLAR D3

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 100 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*

JA

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

JA

Equipment Model #: CATERPILLAR D3

Description: TRACK TYPE TRACTOR

Signature of company representative submitting bid: Jay Smith

Title: SALER 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.

D3 100 HP BULLDOZER B

D3 LGP	100 HP HYDROSTATIC BULLDOZER OPTION B	2024 PRICING
558-8528	D3 LGP TRACTOR, 30" TRACK	\$224,318
558-8529	CAT C3.6 ENGINE	\$12,240
550-6018	AIR CLEANER WITH PRECLEANER	\$689
397-4328	SALT UNDERCARRIAGE	\$0
286-4307	30" MS, SALT, LGP TRACK	\$0
558-8535	3 VALVE STANDARD HYDRAULICS	\$0
558-8560	PITCH CONTROL	\$0
633-7521	6 LED LIGHTS	\$0
558-8544	ROPS CANOPY W/ HEATER	\$0
552-3237	OPOPS TENSIONER CANOPY	\$0
559-5725	VINYL SEAT	\$0
558-8550	SOUND SUPPRESSION OMISSION	\$0
551-2972	CELLULAR PRODUCT LINK PLE642	\$0
558-8570	GRADE CONTROL W/ SLOPE ASSIST W/ REARVIEW CAMERA	\$9,782
550-6050	HEAVY DUTY RADIATOR GRILL	\$964
397-4288	REAR GUARD	\$2,290
557-1407	HEAVY DUTY 30" BELLY GUARD	\$1,163
244-7433	STANDARD DRAWBAR	\$0
244-7503	COUNTERWEIGHT OMISSION	\$0
577-4297	BLADE, D5K LGP	\$7,364
421-8926	SERIALIZED TECHNICAL MEDIA KIT	\$0
282-3675	CENTER TRACK GUIDING GUARD, SALT	\$1,158
	TOTAL BID PRICE FOR STANDARD MACHINE	\$193,894
	FREIGHT PREPARATION AND DELIVERY	\$6,718
	TOTAL MANUFACTURER'S SUGGESTED RETAIL PRICE FOR STANDARD MACHINE	\$259,967

BID SPECIFICATIONS FOR 100 HP HYDROSTATIC BULLDOZER – OPTION B

GENERAL

These specifications shall be construed as the minimum acceptable standards for a 100 hp hydrostatic low ground pressure 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 **220 cubic** inches, capable of developing a minimum of **100 net** flywheel horsepower (SAE J1349).

Yes ☒ No ☐
Page # 13

Engine shall be manufactured by the equipment manufacturer.

Yes ☒ No ☐
Page # 115

WEIGHT

Operating weight with blade, operator, full fuel tank, and ROPS canopy shall not be less than **20,900 lbs.**

Yes ☒ No ☐
Page # 13

ELECTRICAL SYSTEM

Shall be equipped with a minimum **120-amp** alternator.

Yes ☒ No ☐
Page # 14

TRANSMISSION

Shall be equipped with a hydrostatic type transmission.

Yes ☒ No ☐
Page # 14

STEERING

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

Yes ☒ No ☐
Page # 14

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 # 13

Ground bearing pressure shall not exceed 3.95 lbs/sq. inch.

Yes ☒ No ☐
Page # 13

BLADE

The machine shall be equipped with a six-way (pat) blade with a minimum capacity of 2.7 cubic yards.

Yes ☒ No ☐
Page # 13

VANDALISM PROTECTION

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

Yes ☒ No ☐
Page # 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 # 10, 11

Crankcase guard

Yes ☒ No ☐
Page # 14

Track center guiding guard

Yes ☒ No ☐
Page # 14

Pre-cleaner guard

UNDER HOOD

Yes ☒ No ☐
Page # 14

Front tow hooks

Yes ☒ No ☐
Page # 14

Heavy duty rear drawbar

Yes ☒ No ☐
Page # 14

Fire extinguisher

Yes ☒ No ☐
Page # Vendor

Water separator

Yes ☒ No ☐
Page # 14

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

COVERED COMPONENTS

Engine & Accessories

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

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

Hydrostatic Pumps & Drive Motors

Linkage / Lines Connected to

Hystat Pump

Drive (pilot / eh) Control Valves

Bevel and Transfer Case

Drive Line/Drive Axle

Axles

Axle Seals

Final Drive & Wheel

Final Drive Case / Bore

Final Drive Chain

Final Drive Gears

Axle Shaft

Drive Axle Oil Pump

Steering

Steering Clutch

Steering Clutch & Brake Control Valve

Hydraulic Systems

Hydraulic Oil Coolers

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.



Employment Eligibility Verification

Version: 1.0
Terence M. Brown

User ID: TMOF0002

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



Click any icon for help

Home

My Cases

New 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 / Edit

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: ☐ Individual/Sole proprietor ☒ Corporation ☐ Partnership
☐ Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶
☐ Other (see instructions) ▶

☒ Exempt
payee

Address (number, street, and apt. or suite no.)

P O Box 10367 2401 Pinson Hwy. Tarrant, AL 35217

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

Requester's name and address (optional)

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

Social security number

or

Employer identification number

63 : 0377478

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 ▶

Linda K. Duncan, Controller

Date ▶

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.

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

Company ID Number: 47130

without changes to E-Verify, the Department reserves the right to require employers to take mandatory refresher tutorials.

Termination by any party shall terminate the MOU as to all parties. The SSA or DHS may terminate this MOU without prior notice if deemed necessary because of the requirements of law or policy, or upon a determination by SSA or DHS that there has been a breach of system integrity or security by the Employer, or a failure on the part of the Employer to comply with established procedures or legal requirements. Some or all SSA and DHS responsibilities under this MOU may be performed by contractor(s), and SSA and DHS may adjust verification responsibilities between each other as they may determine.

Nothing in this MOU is intended, or should be construed, to create any right or benefit, substantive or procedural, enforceable at law by any third party against the United States, its agencies, officers, or employees, or against the Employer, its agents, officers, or employees.

Each party shall be solely responsible for defending any claim or action against it arising out of or related to E-Verify or this MOU, whether civil or criminal, and for any liability wherefrom, including (but not limited to) any dispute between the Employer and any other person or entity regarding the applicability of Section 403(d) of IIRIRA to any action taken or allegedly taken by the Employer.

The employer understands that the fact of its participation in E-Verify is not confidential information and may be disclosed as authorized or required by law and DHS or SSA policy, including but not limited to, Congressional oversight, E-Verify publicity and media inquiries, and responses to inquiries under the Freedom of Information Act (FOIA).

The foregoing constitutes the full agreement on this subject between the SSA, DHS, and the Employer.

The individuals whose signatures appear below represent that they are authorized to enter into this MOU on behalf of the Employer and DHS respectively.

To be accepted as a participant in E-Verify, you should only sign the Employer's Section of the signature page. If you have any questions, contact E-Verify Operations at 888-464-4218.

Employer Thompson Tractor Co., Inc.

Frank M Wright

Name (Please type or print)

Title

Electronically Signed

07/11/2007

Signature

Date

Department of Homeland Security – Verification Division

Company ID Number: 47130

**INFORMATION REQUIRED
FOR THE E-VERIFY PROGRAM**

Information relating to your Company:

Company Name: Thompson Tractor Co., Inc.

Company Facility Address: 2401 Pinson Highway
Birmingham, AL 35217

Company Alternate Address: P.O. Box 10367
Birmingham, AL 35202-0367

County or Parish: JEFFERSON

Employer Identification Number: 630377478

North American Industry
Classification Systems Code: 423

Parent Company: _____

Number of Employees: 1,000 to
2,499 Number of Sites Verified for: 5

Are you verifying for more than 1 site? If yes, please provide the number of sites verified for in each State.

- GEORGIA 5 site(s)

Information relating to the Program Administrator(s) for your Company on policy questions or operational problems:

Name:	Kimberly A Stark	
Telephone Number:	(205) 849 - 4279	Fax Number: (205) 849 - 4565
E-mail Address:	kimberlystark@thompsontractor.com	
Name:	Frank M Wright	
Telephone Number:	(205) 849 - 4267	Fax Number: (205) 849 - 4854
E-mail Address:	frankwright@thompsontractor.com	

Company ID Number: 47130

USCIS Verification Division

Name (Please type or print)

Title

Electronically Signed

07/11/2007

Signature

Date

D3

TRACK-TYPE TRACTOR



Net Power (2,200 rpm)

SAE J1349, ISO 9249, 80/1269/EEC 77.6 kW (104 hp)

Operating Weight

D3 9362 kg (20,640 lb)

D3 LGP 9693 kg (21,369 lb)

Cat® C3.6 Engine meets U.S. EPA Tier 4 Final/Japan 2014 (Tier 4 Final)/Korea Tier 4 Final/EU Stage V emission standards.



The new **Cat® D3** succeeds the renowned D5K2 with superior performance and the broadest choice of technology features to help you get the most from your dozer. Nimble and responsive, it has power for dozing and finesse for grading. Fully hydrostatic transmission gives you seamless acceleration, so you can get the job done quickly.

THE NEW **CAT® D3**

PERFORMANCE AND
TECHNOLOGY



D3 77.6 kW/104 hp 9362 kg/20,640 lb

D5K2 77.6 kW/104 hp 9214 kg/20,313 lb

NEW NAMES, SAME WORLD-CLASS PERFORMANCE

The update from D5K2 to D3 is part of an effort to make all Cat dozer model names simpler. Over the next couple of years, the Cat dozer range will be renamed from smallest to largest – D3 to D11 – with one model per size class and no more letter modifiers like “N,” “K,” “T.”

While the number may be different, the D3 gives you all the advantages of the D5K2 and so much more. The D3 delivers more technology, better visibility and more performance, helping you make the most of your equipment investment.

SETTING THE STANDARD

FROM FIRST PASS TO FINISH GRADE



IMPROVED VISIBILITY

The angle of the hood was increased to enhance the peripheral vision for the operator. This new sloped hood allows for better assessment of the work in front of the blade and job site awareness. Better visibility can equal less operator fatigue and more confidence in your work.

GRADE TECHNOLOGY

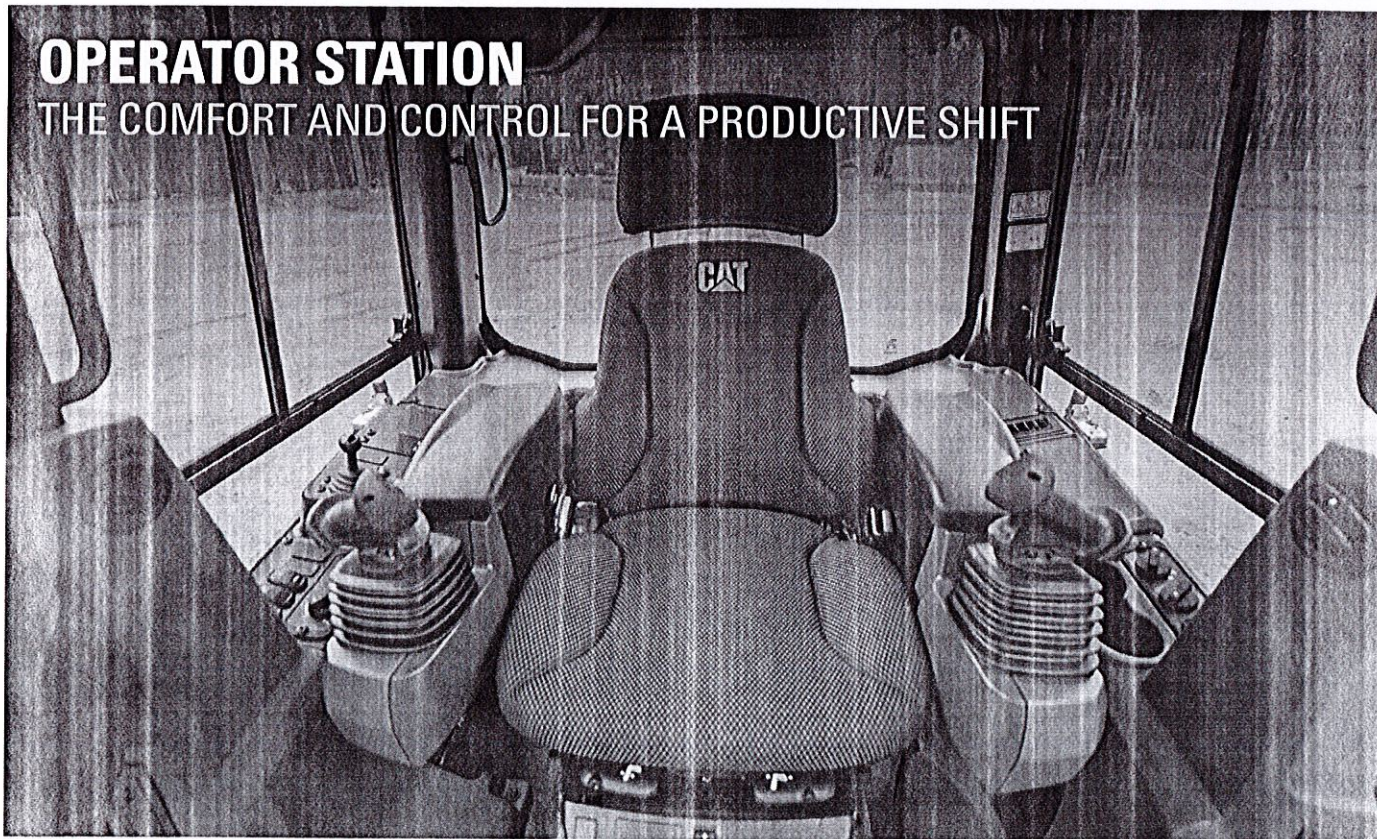
GRADE with 3D and Slope Assist™ help achieve the best quality grading results, while new technologies make machine operation easier and more efficient.

UP TO 10% IMPROVED FUEL ECONOMY

- + Lowers operating costs to the customer
- + Lowest fuel consumption in this size class
- + Still same great performance you've come to expect
- + Up to 20% improvement and no performance sacrifice with ECO mode active
- + Engine efficiency enhancements

OPERATOR STATION

THE COMFORT AND CONTROL FOR A PRODUCTIVE SHIFT



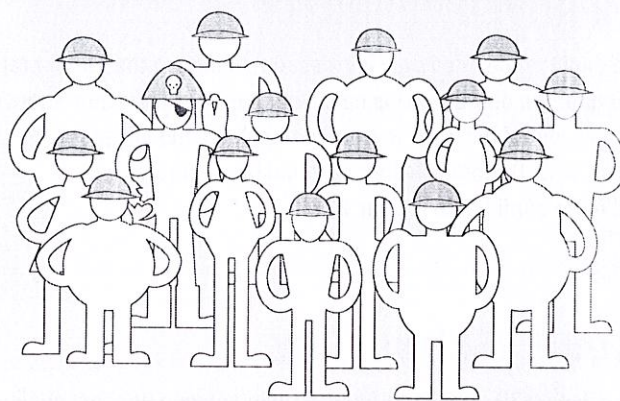
EASY OPERATION

The hydrostatic transmission provides infinite speed control – just choose the speed and go. The load sensing system automatically optimizes ground speed based on load, for the greatest productivity and fuel efficiency.

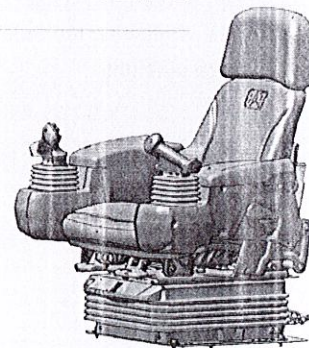
WORK SPACE

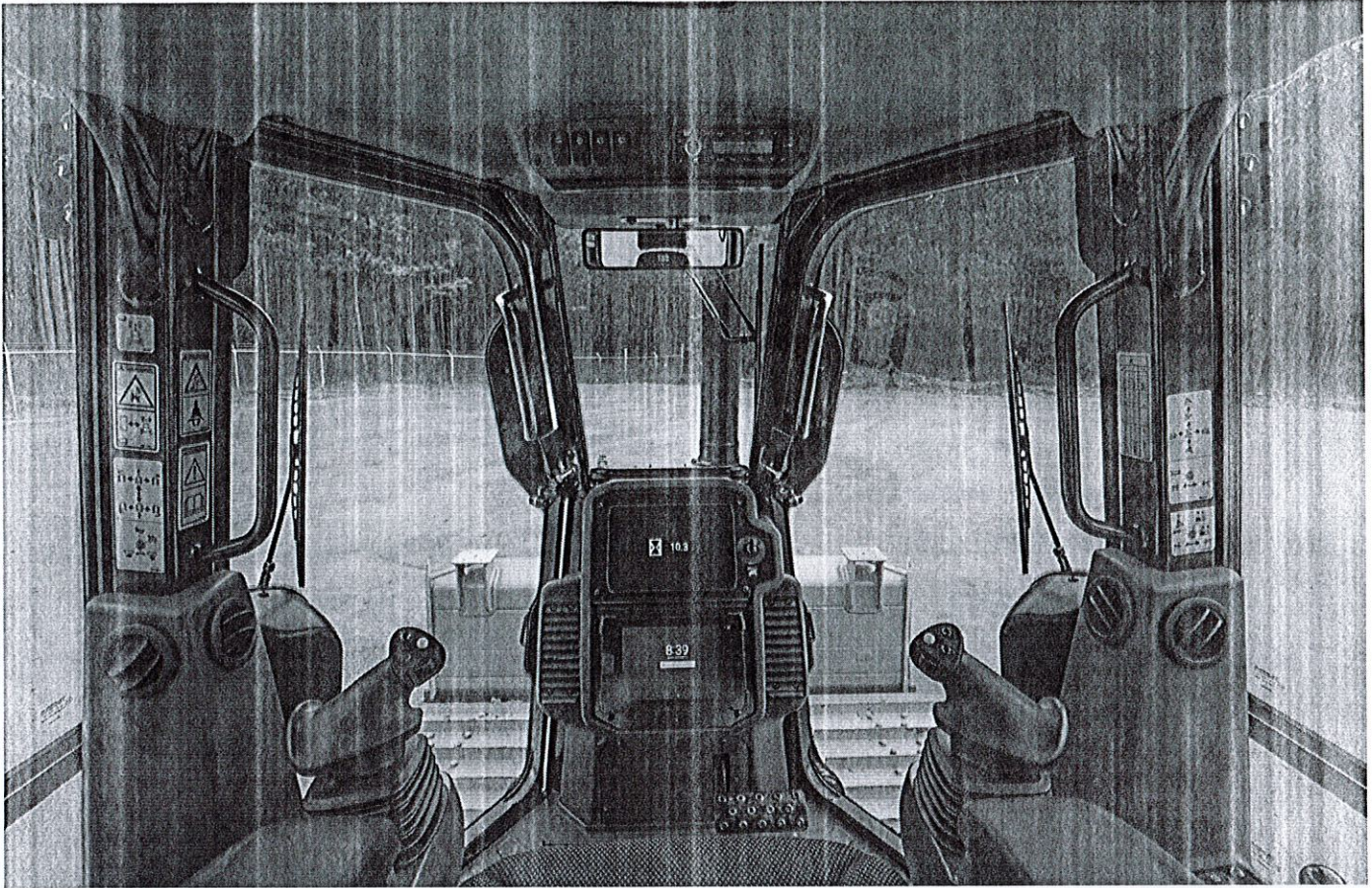
Regardless of operator stature, step into a spacious and comfortable cab that resets the industry standard. An optional heated and ventilated seat, along with heated joystick controls make the operator comfortable no matter what the conditions are outside. The seat height adjustment is now easier to access, and armrests can be quickly adjusted to operator's preference – no tools required!

A CAB EVERY BODY CAN LOVE



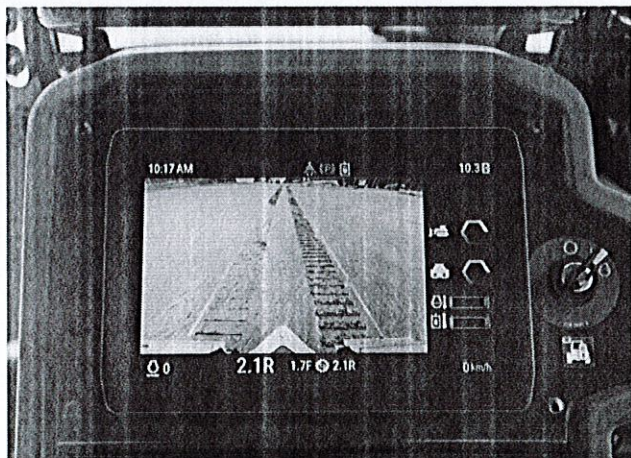
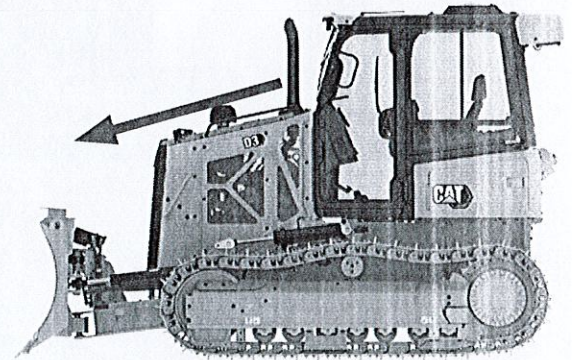
6 Seat Adjustments





UNBEATABLE VIEW

The best seat in the house just got an upgrade by way of improved visibility. The new, redesigned, sloped hood line allows the operator a wider peripheral view for better job site awareness and ease of operation.



BIGGER, BETTER DISPLAY WITH CAMERA

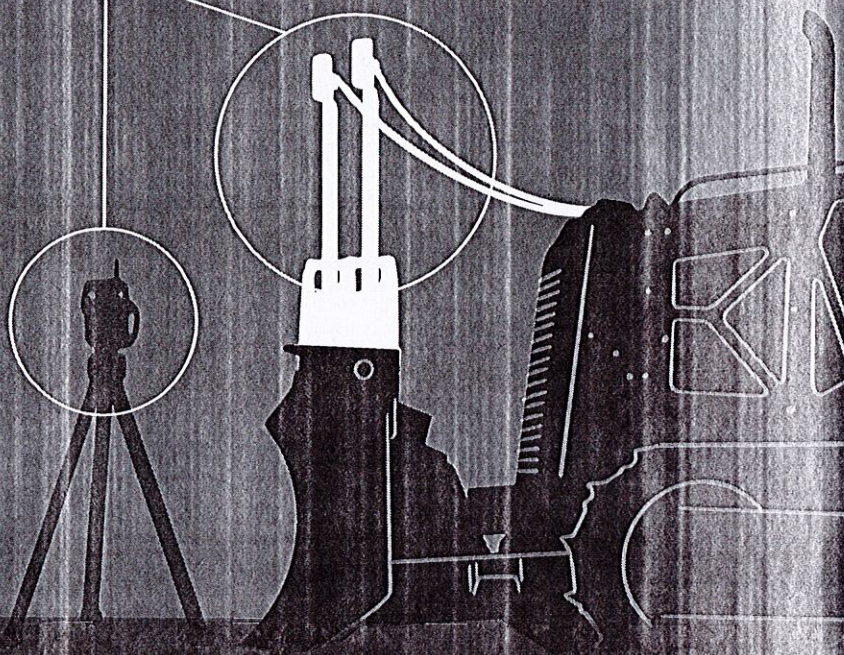
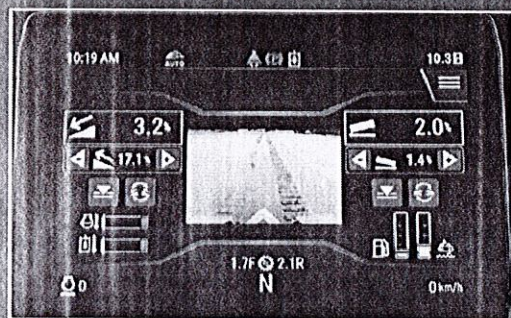
This new and improved optional 10 inch (254 mm) touchscreen, color display is easy to use, with a great view of machine settings, rearview camera and Slope Indicate/Slope Assist screens. The large reversing camera gives the operator better visibility to the job site as well as less fatigue at the end of the day.

Additionally, the Key Features button gives the operator an overview of machine features, along with some helpful operating tips.

CAT[®] GRADE

2D

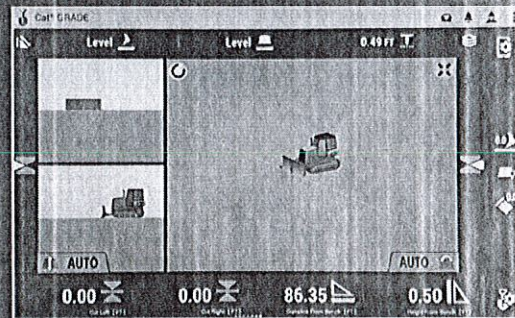
- Cat Grade with Slope Assist
- Cat Grade with Laser



SCALABLE SOLUTIONS

3D

- Integrated GNSS
- Blade-mounted GNSS
- Blade-mounted Universal Total Station



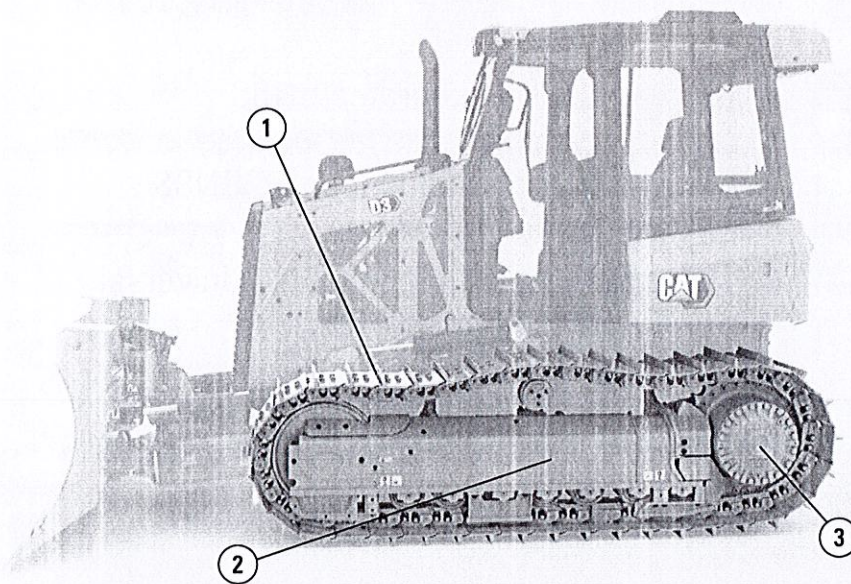
VALUE TO YOU

- Optional integrated, 10-inch (254 mm) color touch screen display
- Stable Blade and Slope Indicate are standard
- Capability to scale up technology, and the flexibility to adapt different technology based on job site demands
- Partnership and support from your Cat or SITECH® dealer

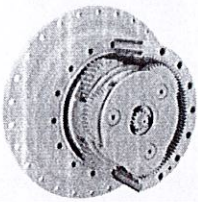
DURABILITY

UNMATCHED POWER WITHOUT COMPRISING MACHINE LONGEVITY

The Small Dozer final drive provides a large, double reduction planetary gear set that allows the machine to push heavy loads. The undercarriage has a longer life, less down time and is standard on all Cat Dozers. A one piece mainframe/track roller frame design gives the machine the strength to carry pushing loads.

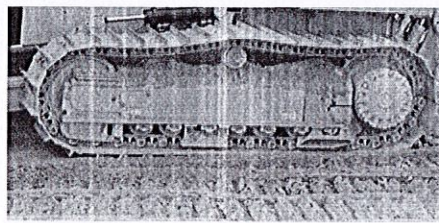


1. Two Track offerings: Sealed and Lubricated Track (SALT)/Abrasion
2. Track Roller Frame
3. Final Drive



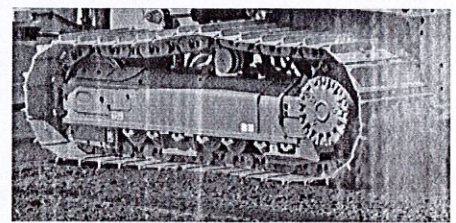
FINAL DRIVE

- + Large planetary gear set
- + Heavy pushing load spread over multiple gears
- + Longer life and less down time
- + Standard on all Cat dozers



SALT

- + Cost effective
- + Eliminates internal pin and bushing wear
- + Long life
- + Universal applications



ABRASION

- + Longer undercarriage wear life
- + No link assembly maintenance
- + No downtime for bushing turns
- + Less cost per hour by using full link life without a bushing turn
- + For high-abrasion applications



PUSH MORE. GRADE MORE.
POWER YOU CONTROL.

AUTOMATIC TRACTION CONTROL

Reduces track slippage with no operator interaction resulting in less ground disturbance and less passes.

POWER TURN

Power to each track allows the dozer to carry heavy loads around turns.

COUNTER-ROTATION

Quick and easy spot turns, along with the ability to control dozer direction during heavy side loads.

SMOOTH CONTROLS

Controls with low operator effort provides predictable maneuverability.

VERSATILITY

SOLUTIONS TO SUIT YOUR UNIQUE APPLICATIONS AND WORK

We offer a full line-up of specialty dozer attachments and purpose built machine configurations for unique applications.

Configure your machine to the application.

FORESTRY

- + Sweeps
- + Screens
- + Hinged radiator grill
- + External Precleaner

PLUS

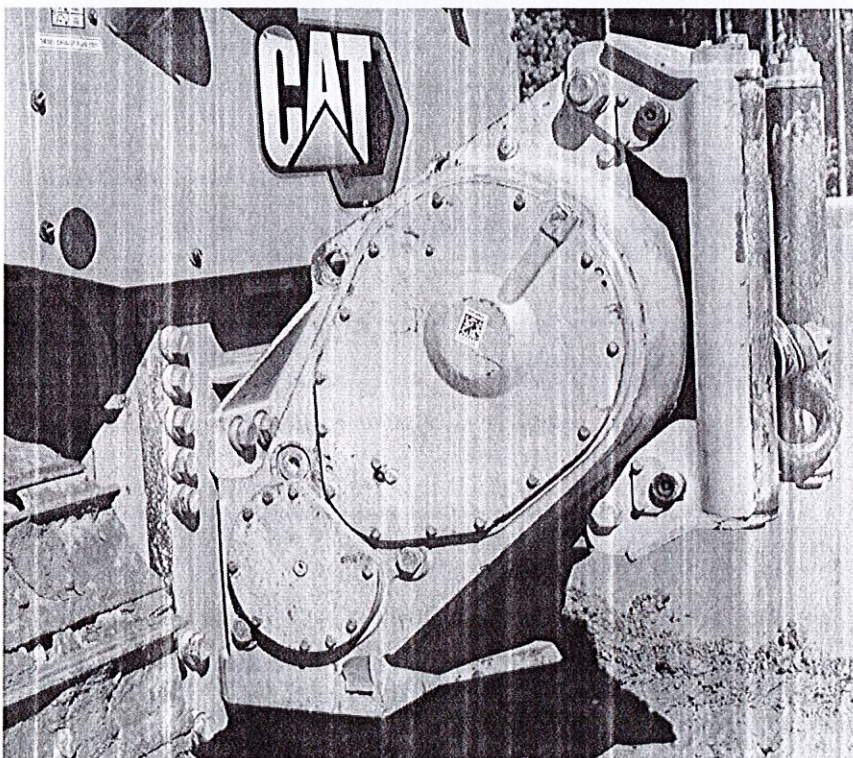
- + Fire plow – fire suppression
- + Ship hold – bulk material handling operations

WINCH

- + Retrieval – great performance, easy to install
- + High performance – maximum line speed and pull

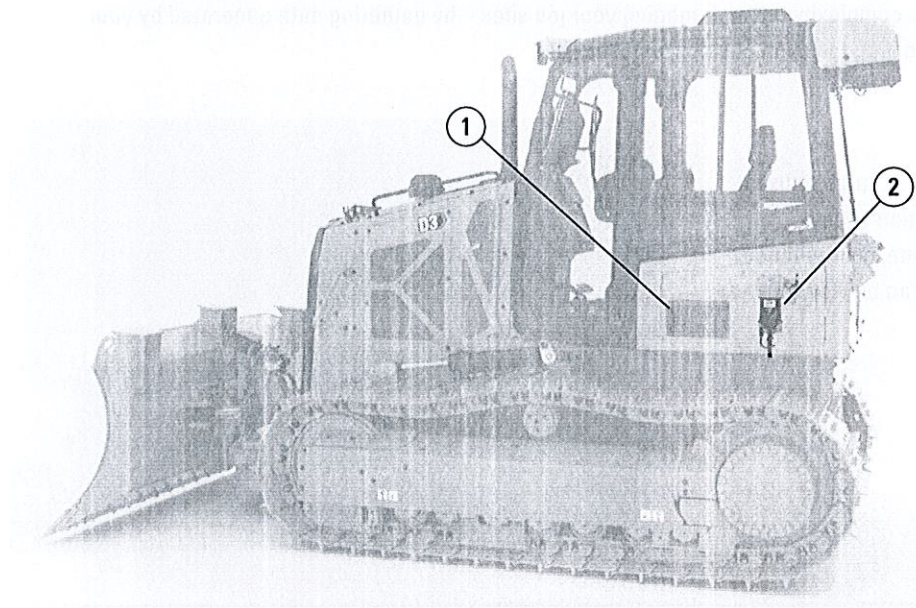
RIPPER

- + Parallelogram linkage
- + 3 shank

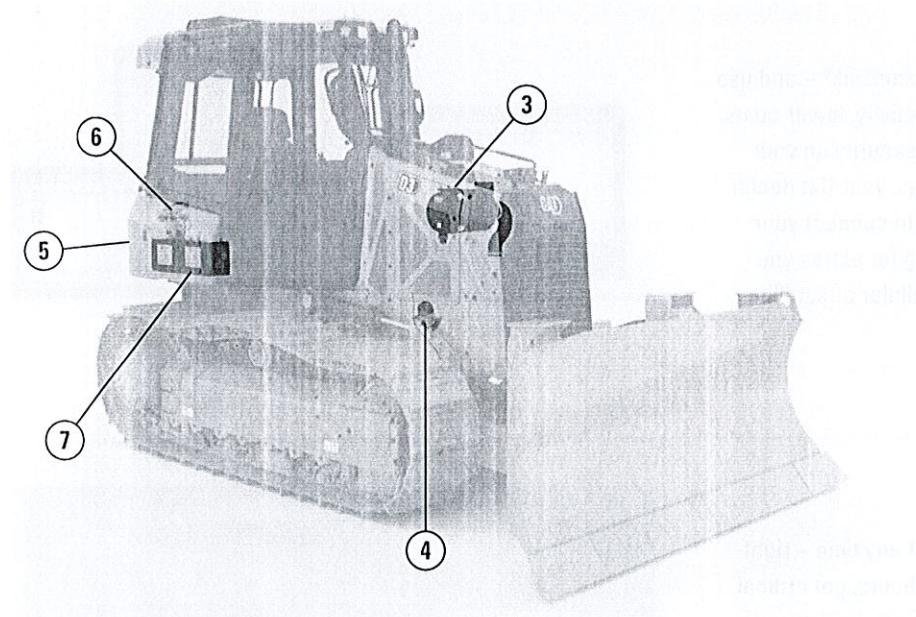


MAINTENANCE

MAKING UPKEEP MANAGEABLE



The Next Generation Small Dozers are easier than ever to service with ground level access to daily maintenance areas. Additionally, there are new options available to further simplify service with the turbine-type precleaner, reversing fan, and hinged radiator grill.



1. Cab air filter
2. Fuel filter
3. Engine air filter
4. Engine oil filter
5. Master disconnect switch
6. Hydraulic oil filter
7. Batteries

CAT DEALER SUPPORT

The Cat Dealer support network is truly the best in the business. They are there to support customers with the parts and service that optimize machine performance and life.

CAT LINK TECHNOLOGY

TAKES THE GUESSWORK OUT OF MANAGING YOUR EQUIPMENT

CAT LINK telematics technology helps take the complexity out of managing your job sites – 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®

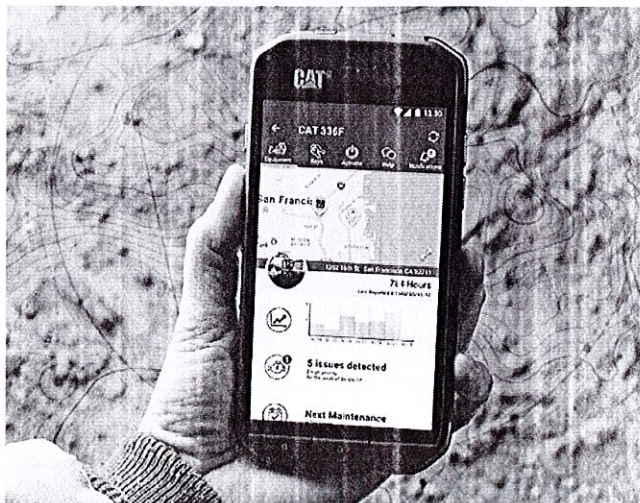
Access information anytime, anywhere with VisionLink® – and use it to make informed decisions that boost productivity, lower costs, simplify maintenance, and improve safety and security on your job site. With different subscription level options, your Cat dealer can help you configure exactly what you 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 smart device. 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. You just need a designated person close to the machine to initiate/confirm the update.
- + **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.



TECHNICAL SPECIFICATIONS

See cat.com for complete specifications.

ENGINE			
Engine Model	Cat C3.6		
Emissions	U.S. EPA Tier 4 Final, Japan 2014 (Tier 4 Final), Korea Tier 4 Final, EU Stage V		
Build Number	12A		
Power Train	Hydrostatic		
Net Power* – 2,200 rpm			
SAE J1349	77.6 kW	104 hp	
ISO 9249, 80/1269/EEC	77.6 kW	104 hp	
Displacement	3.6 L	220 in ³	
*Net power is tested per ISO 9249:2007 and SAE J1349:2011 and as advertised is the power available at the flywheel when the engine is equipped with fan, air intake system, exhaust system and alternator.			
All non-road Tier 4 Final, Stage 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 EPA/10 ppm EU (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, and ACEA E9 specification 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.			
The air conditioning system on this machine contains the fluorinated greenhouse gas refrigerant R134a (Global Warming Potential = 1430). The system contains 1.8 kg of refrigerant which has a CO ₂ equivalent of 2.574 metric tonnes.			

SERVICE REFILL CAPACITIES			
Fuel Tank	195 L	51.5 gal	
Crankcase and Filter	10.5 L	2.8 gal	
Final Drives (each side)	10 L	2.6 gal	
Final Drives, LGP (each side)	10 L	2.6 gal	
Cooling System	19 L	5.0 gal	
Transmission/Hydraulic Tank	90 L	23.8 gal	
Diesel Exhaust Fluid (DEF) Tank	19 L	4.9 gal	

	OPERATING WEIGHT		GROUND PRESSURE	
Standard	9362 kg	20,640 lb	38.9 kPa	5.7 psi
LGP	9693 kg	21,369 lb	31.2 kPa	4.5 psi
LGP (762 mm/30 in)	9893 kg	21,810 lb	27.2 kPa	3.9 psi
For machine with ripper, add 554 kg/1,222 lb.				
Specifications shown are for machine equipped with dozer blade, EROPS cab, back up alarm, operator, coolant, lubricants and full fuel tank.				

BLADES	CAPACITY		WIDTH	
Standard	2.19 m ³	2.86 yd ³	2782 mm	109.5 in
Intermediate	2.09 m ³	2.73 yd ³	2921 mm	115 in
LGP	2.34 m ³	3.06 yd ³	3220 mm	126.7 in

DIMENSIONS*	STANDARD	LGP	LGP (762 MM/30 IN)
Track Gauge	1600 mm (63.0 in)	1750 mm (67.9 in)	1860 mm (73 in)
Width of Tractor (standard shoe)	2110 mm (83 in)	2360 mm (92.9 in)	2630 mm (103.5 in)
Tractor Height	2769 mm (109 in)	2769 mm (109 in)	2769 mm (109 in)
Overall Length (with blade)	4337 mm (170.7 in)	4309 mm (169.6 in)	4309 mm (169.6 in)
Length of Basic Tractor (without blade)	3270 mm (128.7 in)	3270 mm (128.7 in)	3270 mm (128.7 in)
Ground Clearance	332 mm (13 in)	332 mm (13 in)	332 mm (13 in)
With the Following Attachments, Add to Basic Tractor Length:			
Ripper	1177 mm (46.3 in)	1177 mm (46.3 in)	1177 mm (46.3 in)
*Abrasion Undercarriage			

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

STANDARD & OPTIONAL EQUIPMENT

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

POWER TRAIN	STANDARD	OPTIONAL
Air cleaner with precleaner, automatic dust ejection and underhood intake	•	
Air cleaner with external precleaner		•
Aluminum bar plate cooling system (radiator, power train)	•	
Automatic traction control	•	
Cat C3.6 diesel engine	•	
Drive, auxiliary	•	
Dual path, closed loop, hydrostatic transmission	•	
Electric fuel pump	•	
Fuel/water separator	•	
Installation, winch		•
Turbocharged aftercooled	•	
ELECTRICAL	STANDARD	OPTIONAL
Alarm, backup	•	
Alternator, 150 amp, heavy duty	•	
Batteries, heavy duty, maintenance free, 1,000 CCA	•	
Diagnostic connector	•	
Four integrated front halogen lights, two rear halogen	•	
Four integrated front LED lights, two rear LED		•
Horn, electric	•	
Starter, electric, 12 V, heavy duty	•	
UNDERCARRIAGE	STANDARD	OPTIONAL
SALT undercarriage (40 section)	•	
Abrasion undercarriage (36 section)		•
Track Pairs		
Track, 510 mm (20 in)		•
Track, 660 mm (26 in)		•
Track, 762 mm (30 in)		•
Carrier rollers	•	
Guards, front/rear guiding	•	
Seven roller track frame	•	
Track adjusters, hydraulic	•	
Track rollers, lifetime lubricated	•	

HYDRAULIC	STANDARD	OPTIONAL
Hydraulic pump and oil	•	
Four valve for use with ripper		•
Four valve for use with winch		•
Single lever, three function control	•	
Three valve hydraulics	•	
CAT TECHNOLOGY	STANDARD	OPTIONAL
Cat GRADE with Slope Assist		•
Cat GRADE with 3D		•
Cat Product Link PLE643/PLE743 Cellular	•	
Cat Product Link PLE683/PLE783 Cellular/Satellite		•
Full-color 10 in (254 mm) touchscreen grade display		•
Power Pitch		•
Slope Indicate	•	
Stable blade	•	
ATTACHMENTS	STANDARD	OPTIONAL
Rigid drawbar	•	
Drawbar, towing		•
Front pull device	•	
Machine security system		•
Mounting, winch		•
Ripper, parallelogram, includes three shanks and teeth		•
Winch, hydraulic, high performance		•
Winch, hydraulic, retrieval		•
OTHER	STANDARD	OPTIONAL
Heater, engine, coolant 120 V/240 V		•
Starting aid, ether		•

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 brochure available at www.cat.com or your Cat dealer.

STANDARD & OPTIONAL EQUIPMENT

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

OPERATOR ENVIRONMENT	STANDARD	OPTIONAL
Armrests, adjustable	•	
Cab, with air conditioning		•
Cab, polycarbonate windows and air conditioning		•
Coat hook	•	
Controls, seat mounted, fore/aft adjustment	•	
Cup holders	•	
Eco Mode	•	
Electronic Monitoring system with gauge:		
– Chassis slope indication		
– Diesel exhaust fluid (DEF)	•	
– Engine coolant temperature		
– Fuel level		
– Hydraulic oil temperature		
Electronic security system	•	
Engine air cleaner service indicator	•	
Engine RPM and gear display	•	
Floor mat, rubber, heavy duty	•	
Foot pads, dash	•	
Hour meter, electronic	•	
Independent forward/reverse speed settings	•	
Mirror, rearview, inside	•	
Power port, 12 volt	•	
Radio, AM/FM Bluetooth®		•
ROPS/FOPS canopy	•	
Seat, air suspended, cloth or vinyl	•	
Seat, air suspension, choice of:		
– Vinyl, heated seat with heated controls		
– Cloth, heated seat with heated controls		•
– Cloth, heated and ventilated seat with heated controls		
Seatbelt, hi-vis retractable 76 mm (3")	•	
Seatbelt buckling indicator/reminder	•	
Single pedal combining decel and brake functions	•	
Sound suppression		•
Speed recall	•	
Storage compartment	•	
Throttle switch, rotary	•	
Travel speed limiter, electronic	•	

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 brochure 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.

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www.cat.com www.caterpillar.com

AEHQ8309
Build Number: 12A
(N Am, EU, Aus-NZ, Japan)



Marketing Bulletin

Global (excludes Europe)
UPDATED April 1, 2020

Announcing the Cat® D1, D2, D3 Next Generation Dozers



Caterpillar is excited to announce the availability of the new D1, D2, D3 Next Generation Dozers. The D1, D2, D3 are direct replacements for the D3K2, D4K2, D5K2 models. Net Horsepower (HP) and weight to HP ratios have not changed significantly (machine weight now includes enclosed cab). The new D1, D2, D3 will utilize a Cat® C3.6 diesel, turbo charged, aftercooled, Diesel Oxidation Catalysts/Diesel Particulate Filter/Selective Catalyst Reduction (DOC/DPF/SCR) engine and hydrostatic transmission.

The new models include styling changes, technology enhancements and new engine which provide significant new customer value features described below.

Marketing Strategy

Since their introduction in 2014, the D3K2, D4K2, D5K2 dozers have continued to deliver exceptional customer value and reliability. Their success has allowed Caterpillar to maintain market leadership in this competitive market.

The new **D1, D2, D3** replace the successful **D3K2, D4K2, D5K2** and they represent the nomenclature change consistent with recent changes in the larger Cat dozer product line. Additionally, the "XL" model modifier will not be used with D1, D2, D3.

All D1, D2, D3 will use common model serial number prefixes for all regions and a common model price list for all regions will be utilized. This represents a change from D3K2, D4K2, D5K2.

The D1, D2, D3 brings EU Stage V emission solution and improved visibility with simple to use technologies that will boost operator efficiencies. These benefits combined with 5-10% reduced fuel consumption and lower maintenance cost deliver improved operating cost. These machines will be manufactured in **Athens, Georgia, USA**.

Specialty models (i.e. D1 Mulcher, D1 SSLGP, D1 TWD, D3 TWD, D1, D2, D3 Fire Tractor) Phase-In will follow standard model Phase-In by approximately 6 months. (Please reference Phase In / Phase Out document for more detail [here](#))

The D1, D2, D3 utilize the same basic machine platform as the D3K2, D4K2, D5K2 US EPA Tier 4 Final / EU Stage IV and offer significant additional customer value in the utility and finish grade applications. The D1, D2, D3 anchor the smaller end of the Cat Dozer product line and provide demonstrable differentiation vs. key competitors Deere and Komatsu.

5 key areas were focused on in this update:

- 1- Visibility
- 2- Intuitive operator interface
- 3- Grade control technology
- 3- Fuel management
- 5- Reduced engine emissions

Visibility was a primary improvement. Lower, sloping hood line provides improved visibility in the peripheral vision area also to corners of blade which remain to be key line of sight for operators.

The primary machine display size will increase to a 10-inch (254 mm) color touch screen which aids in operator interface and makes it easier for operator to utilize technology features of the machine. Display and layout are consistent with the larger D5 and D6.

Blade control as it relates to finish grading remains a primary objective for this dozer size class. Improvements were made in various area using new technology features on this update. The blade control system offers the operator simple, intuitive control of the blade especially during finish grading and contributes to increased productivity and less operator fatigue.

Both fuel and power management improvements using adaptive controls contribute to increased machine productivity and at the same time offer improved fuel economy.

The Cat C3.6 engine is Tier 4 Final and Stage V certified. The emission system does not require any operator interaction and does not disrupt performance during normal machine operation. An optional Cat 3.6 US EPA Tier 3 equivalent engine is offered for less regulated regions.

Undercarriage configurations will include both Standard and LGP. An additional LGP configuration will continue to be offered which includes 30-inch (762 mm) wide track. SALT and Cat Abrasion™ undercarriage systems are offered to provide the customer with the lowest operating cost in their specific operating conditions.

Standard Equipment Changes

There are some changes to the D1, D2, D3 standard equipment listing. These changes are intended to drive customer value through the inclusion of commonly ordered options with performance and serviceability improvements. Listed below are Standard Equipment changes:

- Cat C3.6 diesel turbocharged Tier 4 Final / Stage V Certified engine with DOC/DPF/SCR aftertreatment, Diesel Emission Fluid, Air-to-Air Aftercooler (ATAAC) replaces C4.4 diesel turbocharged Tier 4 Final / Stage IV engine.
- Diesel Particulate Filter and Diesel Emission Fluid is utilized
- Tier 3 equivalent engine net horsepower is equal to Tier 4 Final / Stage V engine
- Machine weight includes enclosed ROPS cab

Spec Comparison Chart

	Cat D1	Cat D3K2 Tier 4	Deere 450K
Weight – lbs (kg)	18,240 -18,390 (8,274 - 8,342)	18,015 - 18,992 (8,171 - 8,615)	17,510-18,752 (7,959 - 8,522)
HP (kW)	80 (59.7)	80 (59.7)	80 (60)
Blade capacity - yd ³ (m ³)	2.17 (1.66)	2.17 (1.66)	2.14 - 2.46 (1.6 - 1.8)
Blade width - in (mm)	104 -124 (2,646 - 3,149)	104 -124 (2,646 - 3,149)	97-124 (2,464 - 3,150)
# Bottom rollers	6	6	6
Track on ground	89	89	86

	Cat D2	Cat D4K2 Tier 4	Deere 550K	Komatsu D37-24
Weight – lbs (kg)	18,340-19,019 (8,319 - 8,627)	18,557 - 19,236 (8,417 - 8,725)	19,758 - 21,000 (8,962 - 9,525)	18,298 - 19,070 (8,300 - 8,650)
HP (kW)	92 (68.8)	92 (68.8)	92 (69)	89 (66)
Blade capacity - yd³ (m³)	1.96 - 2.59 (1.50 - 1.98)	1.96 - 2.59 (1.50 - 1.98)	2.35 - 2.57 (1.8 - 1.96)	2.3 - 2.55 (1.75 - 1.95)
Blade width - in (mm)	109 - 124 (2,782 - 3,149)	109 - 124 (2,782 - 3,149)	105 - 124 (2,667 - 3,150)	107 - 126 (2,718 - 3,200)
# Bottom rollers	7	7	6	6
Track on ground	89	89	86	88

	Cat D3	Cat D5K Tier 4	Deere 650K	Komatsu D39-24
Weight – lbs (kg)	20,321 - 21,150 (9,217 - 9,593)	20,863 - 21,542 (9,463 - 9,771)	21,320 - 22,343 (9,671 - 10,134)	19,930 - 20,900 (9,040 - 9,480)
HP (kW)	104 (77.6)	104 (77.6)	104 (78)	104 (78)
Blade capacity - yd³ (m³)	2.86 - 3.06 (2.19 - 2.34)	2.86 - 3.06 (2.19 - 2.34)	2.57 - 2.91 (1.96 - 2.22)	2.9 - 3.0 (2.21 - 2.29)
Blade width - in (mm)	109 - 127 (2,769 - 3,226)	109 - 127 (2,769 - 3,226)	105 - 128 (2,667 - 3,251)	107 - 128 (2,718 - 3,251)
# Bottom rollers	7	7	7	6
Track on ground	91	91	92	92

Key Features & Benefits

D1, D2, D3 include several key customer value based features that provide "First to Market" advantages to the sales force.

What's New!

- New styling, improved visibility
- Larger 10-inch display
- C3.6 engine
- Turbine type pre cleaner (option)
- Automatic reversing fan (option)
- Hinged radiator grill (option)

What's continued D1, D2, D3

- Eco Mode
- Automatic Traction Control
- Stable Blade
- Slope Indicate
- Slope Assist (option)
- Cat GRADE™ 3D (option)
- Power Pitch (option)
- Ventilated seat (option)
- Heated controls (option)

New styling with improved visibility over the top of hood provides great peripheral view of work area and blade cutting edge. Easy engine service access has been moved to Right side of the machine.

Larger 10-inch (254 mm) primary display provides color touch screen for easy access to several features such as slope assist.

C3.6 engine delivers excellent load response with efficient fuel management. DOC/DPF/SCR are utilized on Tier 4 Final / Stage V engine. Tier 3 equivalent engine equipped with standard muffler.

Turbine type precleaner (option) increase engine air filter life if in excessive debris conditions.

Automatic Reversing fan (option) reduces debris build up in radiator and engine enclosure areas for less down time. Fan is activated automatically on periodic basis requiring no operator interaction.

Hinged radiator grill (option) provides easy access to radiator for periodic cleaning and requires no tools.

Automatic Traction Control reduces track slip when the machine encounters maximum load conditions. This feature does not require operator interaction as on former model. The machine system automatically reduces track slippage by sensing and controlling track speed. As a result, the operator minimizes blade movement (blade lift) and delivers greater productivity for each cycle. This helps operator load blade more easily while reducing operator fatigue. By reducing track slippage, undercarriage life is improved.

Slope Indicate provides operator slope of the chassis in the cross-slope direction and also the mainfall or fore/aft direction without having to estimate. Allows operator to have more confidence in slope work without guessing. Slope Indicate is standard equipment.

Slope Assist helps the operator more easily achieve the desired blade mainfall (fore/aft) and slope (left/right) by automatically maintaining the operators established blade grade angles. The system helps save time and materials so that less experienced operators can achieve better results, more quickly. The system is part of the Attachment Ready Option (ARO) for easy scalability to three-dimensional GRADE control systems.

Stable Blade compliments operator blade control input, which allows the operator to finish grade easier, quicker and with less effort. The feature is always on by default but may be deactivated using dash display menu. **Note:** This feature does not grade to a specific target and is not a substitute for Cat GRADE systems

Power Pitch allows the operator to control blade pitch (fore-aft) remotely from the operator's compartment using a hydraulic cylinder mounted to the top rear of the blade. This feature allows the operator to optimize blade pitch during the dozing cycle. An example would be aggressive blade pitch for loading the blade and then laying the blade rearward for optimum carrying, spreading capacity. The result is increased machine productivity up to 6%. Power Pitch is an

optional attachment. Blade pitch may also be optimized to achieve best finish grading performance in various soil conditions.

Eco Mode improves fuel economy up to 20% by reducing engine speed when not required. Two modes are available— Forward and Reverse or Reverse only. Simply select the desired mode identified by the green leaf on the rotary throttle dial and Eco Mode will control engine RPM. If changing machine load requires additional engine RPM, Eco Mode allows the engine to deliver maximum speed and power until load decreases.

Ventilated Seat provides air circulation to the back and bottom seat cushions. A switch below the seat cushion activates air circulation. Ventilated seat is an optional attachment that includes heated seat function and heated control handles described below. The ventilated seat attachment is only compatible with EROPS cab machines.

Heated Control Handles provide heat to the Left and Right joystick control handles. A switch located on the Right console activates the feature. Heated Control Handles are an optional attachment, included with the ventilated and heated seat features.

C3.6 diesel turbocharged engine is a Tier 4 Final / Stage V Certified engine with DOC/DPF/SCR aftertreatment, Diesel Emission Fluid, Air-to-Air Aftercooler (ATAAC) and replaces the C4.4 diesel turbocharged Tier 4 engine.

Lane Strategy Changes

The D1, D2, D3 will continue to follow Multi-Lane Distribution Strategy. The D1 and D3 will be offered in Lane 1 from Athens PDC. The D2 and D3 will be offered in Lane 1 from the ZDC. The D1 will not be offered in Europe. Please reference regional price list for lane offerings.

Finish to Order will be offered for the D3. These attachments will include sweeps, screens, undercarriage guiding guards, drawbar, ripper and GRADE 3D.

Ordering Guide

Source plant for the D1, D2, D3 will be Athens, GA, USA and the order board will be opened on May 2020. Orders will be accepted in line with collaborated order ranges from the S&OP process. The price list will be available through the Cat website for reference numbers and prices March 2020.

During the Phase-In of the D1, D2, and D3, we will leverage the NPI process for order range collaboration. Under this process, you will collaborate in April. The quantities to order with the respective ship after dates will be noted in the tableau report **What Should I Order**.

Serial Number Prefix

Facility	Sales Model	Serial Number Prefix
Athens	D1	XKF
Athens	D1 LGP	XKL
Athens	D1 LGP 30"	XT3
Athens	D2	XKM
Athens	D2 LGP	XKR
Athens	D3	XKW
Athens	D3 LGP	XKY
Athens	D3 LGP 30"	XT5

Production

First production will be August 2020 in Athens, GA, USA. First shipment will be Last Half August 2020.

Availability

The D1, D2, D3 Price List will be published March 2020 with first order placement May 2020.

In China region, D1, D2, D3 standard and specialty models will not be available for order at first production due to China NR4 emission certification requirement.

Pricing

On average, the D1, D2, D3 will have a price increase of 1% for NPI features and emissions plus any general price increase planned for 2020.

Links to Price Lists:

[http://esl.cis.cat.com/multimedia.nsf/\\$\\$ESLModel?OpenForm&Seq=1Machine](http://esl.cis.cat.com/multimedia.nsf/$$ESLModel?OpenForm&Seq=1Machine) Price List

Attachments

The D1, D2, D3 primary attachments remain unchanged and are fully compatible with the former D3K2, D4K2, D5K2 model. Additional new optional attachments are: Turbine type pre-cleaner, Automatic reversing fan, Hinged radiator grill.

Sales Support

Sales Support Materials

<u>Title</u>	<u>Media No.</u>	<u>Available</u>
Phase In/Phase Out bulletin	dealer.cat.com	Now
D1 Specalog	TBA	May 2020
D2 Specalog	TBA	May 2020
D3 Specalog	TBA	May 2020
Product presentation	dealer.cat.com	May 2020
Product sales presentation	dealer.cat.com	May 2020
Photo library- CMMS	n/a	June 2020
Bid specs	govbidspec.com	June 2020

Competitive Bulletins will be published as competitive models are introduced.

Sales training

The D1, D2, D3 will be covered at 2020 Spring Training.

<u>Course</u>	<u>Title</u>	<u>Date</u>	<u>Location</u>
TTT201	TTT NPI	Jan 13, 2020	Tinaja Hills
TTT201	TTT NPI	Jan 20, 2020	Tinaja Hills

Product Support

Product Support Materials

<u>Title</u>	<u>Media No.</u>	<u>Available</u>
Parts Manual	n/a	TBA
OMM	n/a	TBA
Service Manual	n/a	TBA

Warranty

Standard warranty policy applies

Contacts:

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For questions please contact your Sales Operations Representative and/or submit a case in the DOCS System using the appropriate category.

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April 2020

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Cat® D1, D2, D3 Next Generation Small Dozers



What's New!

New **Look** and Better **Visibility**

A lower sloping hood line provides improved peripheral vision to the blade allowing the operator to better assess the jobsite.

Intuitive Operator Interface

Primary display is a 254 mm (10"), touchscreen, color monitor (optional).

Better **Fuel Savings** with the Cat® C3.6 Engine

Improved fuel economy with engine efficiency enhancements.

New Options for **Easier** Service




- Turbine precleaner
- Reversing fan
- Hinged radiator grill



What You've Come to Expect.

On top of what's new, you're still getting the same market leading dozer you know:

- Horsepower, weight, dimensions
- EcoMode
- Stable Blade
- Slope Indicate
- Auto traction control
- Slope Assist™ (option)
- Cat GRADE 3D (option)
- Power pitch (option)
- Ventilated seat (option)
- Heated controls (option)

	Cat D1	Cat D2	Cat D3
			
Weight – kg (lb)	8099-8752 (17,855-19,295)	8338-8648 (18,382-19,066)	9362-9893 (20,640-21,810)
kW (hp)	59.7 (80)	68.8 (92)	77.6 (104)
Blade Capacity – m ³ (yd ³)	1.52 -1.66 (1.99-2.17)	1.85-1.98 (2.42-2.59)	2.19-2.34 (2.86-3.06)
Blade Width – mm (in)	2646-3149 (104-124)	2782-3149 (109-124)	2769-3226 (109-127)
Number of Bottom Rollers	6	7	7
Track on Ground – mm (in)	2248 (89)	2248 (89)	2310 (91)
Previously Known As	D3K2	D4K2	D5K2

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