

CAT ENGINE SETTLEMENT ADMINISTRATOR
PO BOX 4153
PORTLAND OR 97208-4153

CLAIM FILING DEADLINE: March 20, 2017

In Re: Caterpillar, Inc., C13 And C15 Engine Products Liability Litigation
No. 14-3722(JBS)(JS)
U.S. District Court for the District of New Jersey

CLAIM FORM

Please read the entire Claim Form carefully before you begin to fill it out. Mail your completed Claim Form to Caterpillar C13 and C15 Claims Administrator, P.O. Box 4153, Portland OR 97208-4153, postmarked on or before March 20, 2017. If you have any questions, please call the Claims Administrator at 888-593-5379 or visit www.enginesettlement.com.

Definitions

A "Subject Engine" is an EPA 2007 Compliant Caterpillar On Highway C13 and C15 engines (manufactured in 2006, 2007, 2008, and 2009) at issue in the lawsuit, including the CRS components of the engines.

"Caterpillar Regeneration System" or "CRS" means the components of the Subject Engine, which are more fully defined or described by the parts set forth in Attachment A of the Settlement Agreement (also available at the website).

"CRS Related Repair" means a repair or replacement of any Caterpillar Regeneration System related part or component as indicated by the 45 DT and F code combinations reflected in Attachment A of the Settlement Agreement. Repairs or replacements made due to a Caterpillar Service Letter performed pro-actively are not considered a CRS Related Repair.

SECTION A: Settlement Benefit Options

Please select only **ONE** of the following options. Note that all amounts are subject to a pro-rata increase *or* reduction based on the number of eligible Claims, per the terms of the Settlement Agreement.

OPTION 1: CLAIM BASED ON ENGINE REPAIRS

If you experienced no CRS Related Repairs, you are eligible to receive, but not guaranteed, \$500 for each Subject Engine. If you experienced 1-5 qualified CRS Related Repairs, you are eligible to receive, but not guaranteed, \$5,000 per Subject Engine. If you experienced 6 or more qualified CRS Related Repairs, you are eligible to receive, but not guaranteed, \$10,000.00 per Subject Engine. Your Claim will be based on the number of Subject Engines for which you provide information. If you were sent this Claim Form in the mail, Subject Engine information may have been pre-populated on the Claim Form. **IF YOU SELECT THIS OPTION, YOU ONLY NEED TO FILL OUT SECTIONS B AND D BELOW.**

OPTION 2: CLAIM BASED ON CONSEQUENTIAL LOSSES

Instead of requesting a payment based on the number of Subject Engine repairs, if you experienced at least one CRS Related Repair, you can choose to submit proof documenting any "Consequential Losses" you had that were related to that repair. If you choose this option, you may claim up to a maximum of \$15,000 in losses you suffered as a consequence of qualified CRS Related Repairs. These losses can include things such as towing charges, rental charges, and hotel charges. **IF YOU SELECT THIS OPTION, YOU MUST FILL OUT SECTIONS B, C, AND D BELOW.**

SECTION B: Engine Information

Please fill out or confirm for each Subject Engine you are claiming. If you were sent this Claim Form in the mail, eligible Subject Engine warranty repair information may have been pre-populated below based on information known to the Claims Administrator. If you wish to claim additional Subject Engines, you will need to provide the information requested below. **YOU MUST LABEL EACH PIECE OF SUPPORTING DOCUMENTATION WITH THE ASSOCIATED ENGINE SERIAL NUMBER.**

Engine Serial Number Associated with Claimed Consequential Loss:

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I owned or leased this engine from

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MM DD YYYY MM DD YYYY

During that time, this engine had

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 CRS Related Repairs. **You must attach proof of the out-of-warranty CRS Related Repairs claimed. Acceptable proof includes an invoice for the repair or similar documentation.**

Engine Serial Number Associated with Claimed Consequential Loss:

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I owned or leased this engine from

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MM DD YYYY MM DD YYYY

During that time, this engine had

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 CRS Related Repairs. **You must attach proof of the out-of-warranty CRS Related Repairs claimed. Acceptable proof includes an invoice for the repair or similar documentation.**

Engine Serial Number Associated with Claimed Consequential Loss:

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I owned or leased this engine from

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MM DD YYYY MM DD YYYY

During that time, this engine had

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 CRS Related Repairs. **You must attach proof of the out-of-warranty CRS Related Repairs claimed. Acceptable proof includes an invoice for the repair or similar documentation.**

Engine Serial Number Associated with Claimed Consequential Loss:

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I owned or leased this engine from

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MM DD YYYY MM DD YYYY

During that time, this engine had

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 CRS Related Repairs. **You must attach proof of the out-of-warranty CRS Related Repairs claimed. Acceptable proof includes an invoice for the repair or similar documentation.**

Engine Serial Number Associated with Claimed Consequential Loss:

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I owned or leased this engine from

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MM DD YYYY MM DD YYYY

During that time, this engine had

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 CRS Related Repairs. **You must attach proof of the out-of-warranty CRS Related Repairs claimed. Acceptable proof includes an invoice for the repair or similar documentation.**

***If you are providing information for more than 5 Subject Engines, you can copy this page as many times as needed and submit information for all Eligible Engines you owned/leased.**

SECTION C: Proof of Consequential Losses

If you have chosen OPTION 2: CLAIM BASED ON CONSEQUENTIAL LOSSES, you must provide proof of the losses you are claiming associated with the Subject Engine or Engines you have listed above. Again, Consequential Losses may include things such as towing charges, rental charges, and hotel charges (any losses you claim to have suffered as a consequence of qualified CRS Related Repairs). Remember, by choosing this option, you are not able to recover any losses based on any Claim you may have under OPTION 1: CLAIM BASED ON ENGINE REPAIRS.

List each claimed Consequential Loss below each Subject Engine serial number with which it is associated. Then attach copies of proof for each (receipts or other documentation showing the date and amount of the claimed loss). **YOU MUST LABEL EACH PIECE OF SUPPORTING DOCUMENTATION WITH THE ASSOCIATED ENGINE SERIAL NUMBER.**

Consequential Losses

Engine Serial Number Associated with Claimed Consequential Loss:

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Engine Serial Number Associated with Claimed Consequential Loss:

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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Description of Claimed Consequential Loss

Amount Claimed

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***If you are claiming Consequential Losses associated with more than two Subject Engines, you may copy this page and submit as much information as is necessary to prove your Claim.**

SECTION D: Certification and Signature

By signing below, I certify under penalty of perjury that I have read this Claim Form, I believe I am eligible for class membership, and all of the information on this Claim Form (or provided with this Claim Form) is true and correct to the best of my knowledge. I understand that, if the Claim Form is not signed, my Claim will not be valid, and I will not be eligible to receive a settlement cash payment.

Signature: Date: - -
MM DD YYYY

CONTACT INFORMATION:

Business Name:

Representative Name:

Address:

City: State: ZIP Code: