

# Instructions

## Shipping With KULR Technology's Department of Transportation (DoT) Special Permits

+1 (858) 866-8478



SafeCASE@kulrtechnology.com







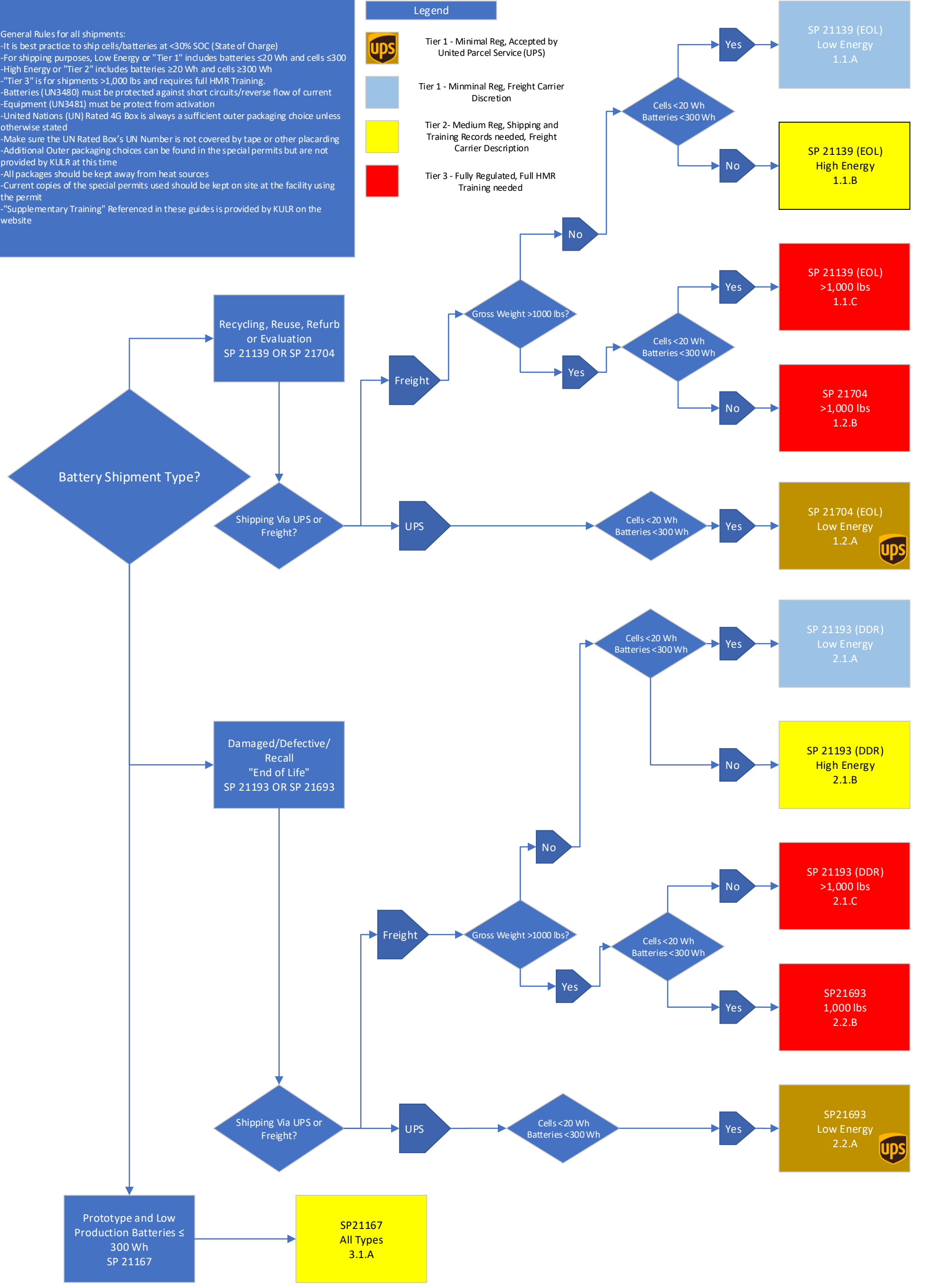
555 Forge River Road Unit 100  
Webster, TX 77598



General Rules for all shipments:  
 -It is best practice to ship cells/batteries at <30% SOC (State of Charge)  
 -For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300  
 -High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh  
 -"Tier 3" is for shipments >1,000 lbs and requires full HMR Training.  
 -Batteries (UN3480) must be protected against short circuits/reverse flow of current  
 -Equipment (UN3481) must be protect from activation  
 -United Nations (UN) Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated  
 -Make sure the UN Rated Box's UN Number is not covered by tape or other placarding  
 -Additional Outer packaging choices can be found in the special permits but are not provided by KULR at this time  
 -All packages should be kept away from heat sources  
 -Current copies of the special permits used should be kept on site at the facility using the permit  
 -"Supplementary Training" Referenced in these guides is provided by KULR on the website

**Legend**

-  Tier 1 - Minimal Reg, Accepted by United Parcel Service (UPS)
-  Tier 1 - Minimal Reg, Freight Carrier Discretion
-  Tier 2- Medium Reg, Shipping and Training Records needed, Freight Carrier Description
-  Tier 3 - Fully Regulated, Full HMR Training needed



*Disclaimer: This Graphic is a decision making aid and is not a substitute for the training deemed necessary by the end user's choice of shipping method and Special Permit used. User bears the responsibility of knowing and complying with the regulations set within the HMR and DOT S special Permits listed above, which can be found on KULR's Website.*



## 1.1.A Recycling/End of Life

### Special Permit 21139 (Low Energy)

#### GENERAL RULES FOR ALL SHIPMENTS:

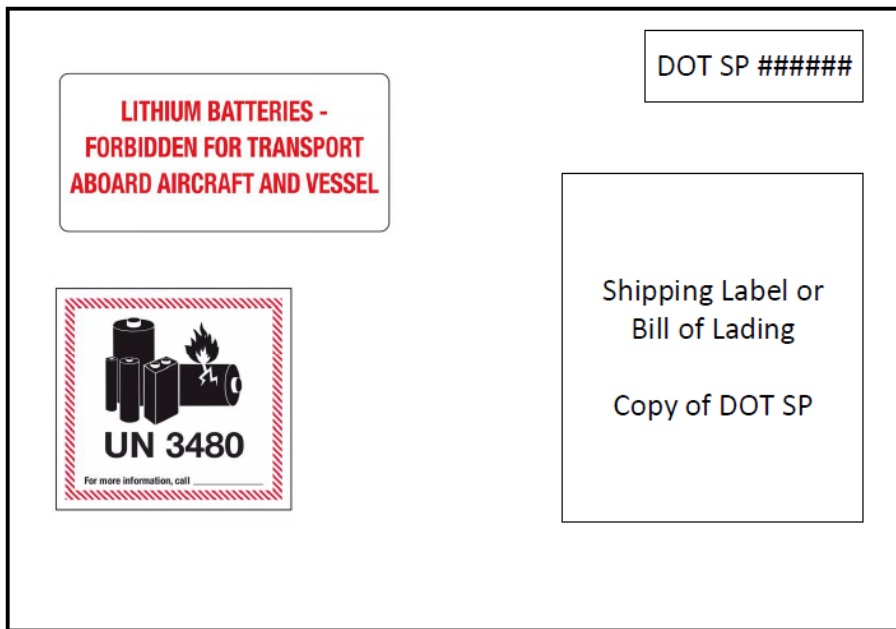
- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

1.1.A SafeX Shipping Checklist for Recycling/End of Life with Special Permit 21139 (Low Energy)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	2.5 kWh/30 kg/100 kg ( <i>See notes</i> )	Shipper can pack multiple cells/batteries/pieces of equipment under 30 kg, or a single unit of any type up to 100 kg
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 1 Shipping, Handling & Closure	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 1 Shipping, Handling &amp; Closure Training</a>
Shipping Records	Tier 1 Shipping Records not required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 1 Bill of Lading or Packing List	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 1 Any Fitted Cardboard Box	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 1 "For Ground Transport Only - Forbidden for Transport by Aircraft or Vessel"	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".
Battery Sticker Type	Tier 1 Low Energy Sticker (Red Outline)	DOT Low Energy Sticker has a red outline and must be labeled with shipment type (UN3480 or 3481) and emergency response phone number
DOT SP #	"DOT SP 21139" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper



DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	Shipping Document must state: -"LITHIUM BATTERIES INTENDED FOR RECYCLING IN ACCORDANCE WITH DOT-SP 21139" -"FORBIDDEN FOR TRANSPORT BY AIRCRAFT AND VESSEL"	Shipping document is typically a Bill of Lading or Packing List where a fully Dangerous Good's Declaration is not explicitly required. This goes outside of the box next to the shipping label (for parcel shipments).
Other Conditions	Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier. Below 1,000 lbs of consolidated weight, this checklist still applies and full HMR training is not required to ship via freight carrier.	

**OUTER BOX LOOKS LIKE:**



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## 1.1.B Recycling/End of Life

### Special Permit 21139 (High Energy)

#### GENERAL RULES FOR ALL SHIPMENTS:

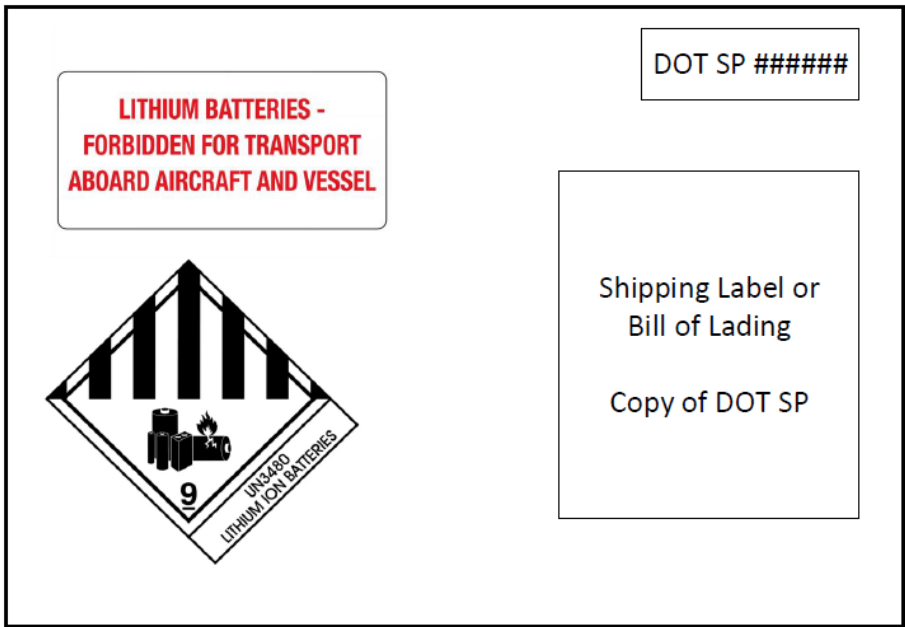
- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

1.1.B SafeX Shipping Checklist for Recycling/End of Life with Special Permit 21139 (High Energy)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	2.5 kWh/30 kg/100 kg ( <i>See notes</i> )	Shipper can pack multiple cells/batteries/pieces of equipment under 30 kg, or a single unit of any type up to 100 kg
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 2 Online Training and Quiz Handling & Closure	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 2 Online Training and Quiz Handling &amp; Closure</a> Tier 2 and Tier 3 shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier 2 Shipping Records required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 2 Shipper's Declaration	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 2 Box UN4G Required	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 2 Cargo Aircraft	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".
Battery Sticker Type	Tier 2 UN 3480 Class 9 Sticker (IATA)	
DOT SP #	"DOT SP 21139" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper



DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	Shipping Document must state: -"LITHIUM BATTERIES INTENDED FOR RECYCLING IN ACCORDANCE WITH DOT-SP 21139" -"FORBIDDEN FOR TRANSPORT BY AIRCRAFT AND VESSEL"	Dangerous Goods Declaration aka Shipper's Declaration needed at this tier.
Other Conditions	Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier. Below 1,000 lbs of consolidated weight, this checklist still applies and full HMR training is not required to ship via freight carrier.	

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## 1.1.C Recycling/End of Life

Special Permit 21139 (High Energy >1000 lb)

### GENERAL RULES FOR ALL SHIPMENTS:

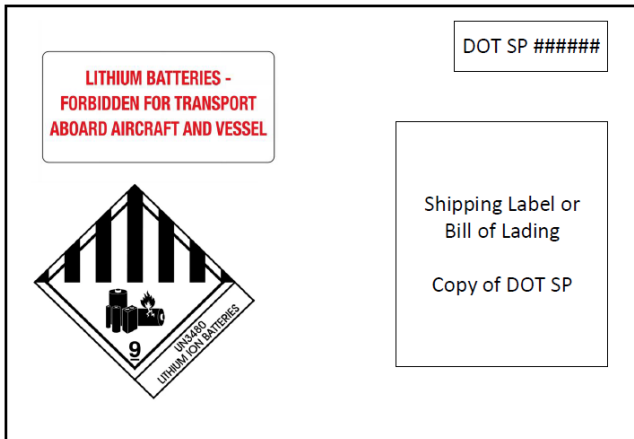
- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

1.1.C SafeX Shipping Checklist for Recycling/End of Life with Special Permit 21139 (High Energy >1000 lb)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	2.5 kWh/30 kg/100 kg ( <i>See notes</i> )	Shipper can pack multiple cells/batteries/pieces of equipment under 30 kg, or a single unit of any type up to 100 kg per safe case. For this use, shipper is consolidating safe cases into palletized loads > 1,000 lbs
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 3 Fully Regulated Hazmat Training	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 3 Fully Regulated Hazmat Training</a> Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier 2 and Tier 3 shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier 2 Shipping Records required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 2 Shipper's Declaration	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 2 Box UN4G Required	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 2 Cargo Aircraft	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".



Battery Sticker Type	Tier 2 UN 3480 Class 9 Sticker (IATA)	
DOT SP #	"DOT SP 21139" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	Shipping Document must state: -"LITHIUM BATTERIES INTENDED FOR RECYCLING IN ACCORDANCE WITH DOT-SP 21139" -"FORBIDDEN FOR TRANSPORT BY AIRCRAFT AND VESSEL"	Dangerous Goods Declaration aka Shipper's Declaration needed at this tier.
Other Conditions	Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier.	

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## 1.2.A Recycling/End of Life

Special Permit 21704 (Low Energy)



### GENERAL RULES FOR ALL SHIPMENTS:

- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

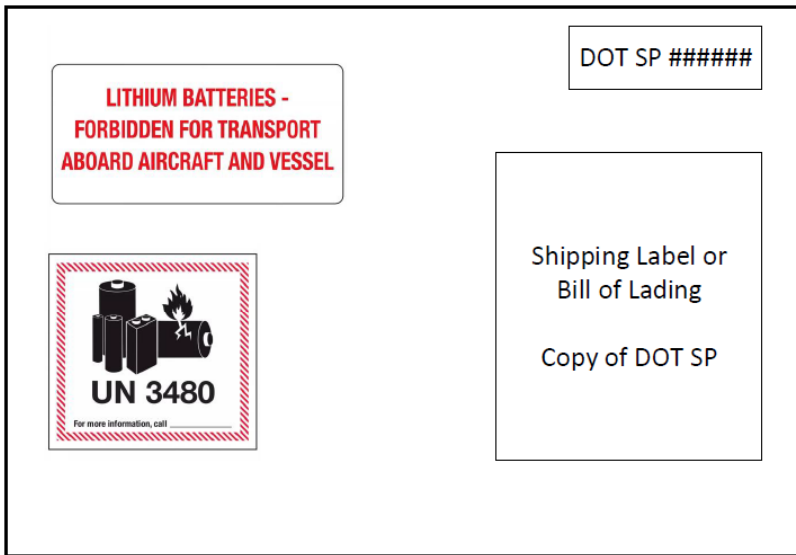
To obtain information on shipping through UPS using special permit 21704 for EOL batteries, customers should contact HMSC at 800-554-9964. Possessing a hazmat or DG contract with UPS does not qualify for participation, as it is a separate program.

1.2.A SafeX Shipping Checklist for Recycling/End of Life with Special Permit 21704 (Low Energy)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	UPS for Shipments < 30 kg & 300 Wh/Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	300 Wh/70 lbs (See notes)	Shipper can pack multiple cells/batteries/pieces of equipment under 30 kg, or a single unit of any type up to 70 lbs
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 1 Shipping, Handling & Closure	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 1 Shipping, Handling &amp; Closure Training</a>
Shipping Records	Tier 1 Shipping Records not required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 1 Bill of Lading or Packing List	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 1 Any Fitted Cardboard Box UNLESS Shipping a single cell/battery/piece of equipment >30 kg, then Tier 2 UN 4G Box required	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 1 "For Ground Transport Only - Forbidden for Transport by Aircraft or Vessel"	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".
Battery Sticker Type	Tier 1 Low Energy Sticker (Red Outline)	DOT Low Energy Sticker has a red outline and must be labeled with shipment type (UN3480 or 3481) (emergency response phone number not required)



DOT SP #	"DOT SP 21704" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
Outer Box Statement	"Recycled Lithium Batteries" at least 0.5" in height must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	#N/A	
Other Conditions	Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier.	

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## 1.2.B Recycling/End of Life

Special Permit 21704 (High Energy > 1000 lb)



### GENERAL RULES FOR ALL SHIPMENTS:

- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

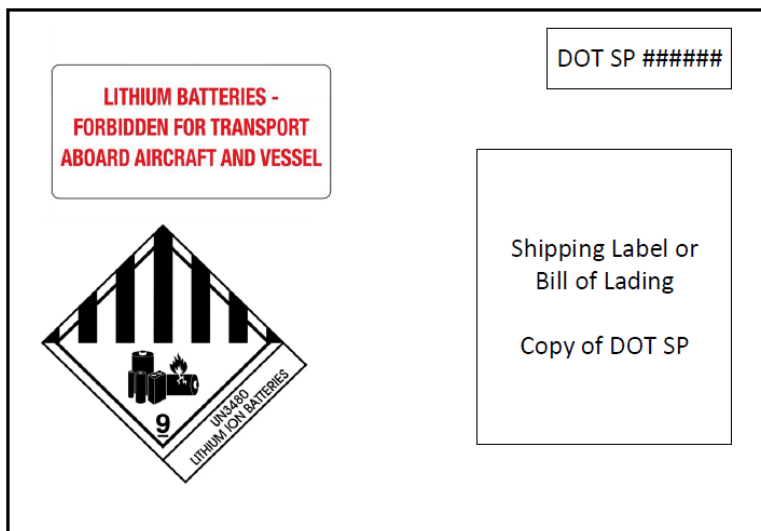
To obtain information on shipping through UPS using special permit 21704 for EOL batteries, customers should contact HMSC at 800-554-9964. Possessing a hazmat or DG contract with UPS does not qualify for participation, as it is a separate program.

1.2.B SafeX Shipping Checklist for Recycling/End of Life with Special Permit 21704 (High Energy >1000 lb)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	300 Wh/70 lbs (See notes)	Shipper can pack multiple cells/batteries/pieces of equipment under 30 kg, or a single unit of any type up to 70 lbs
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 3 Fully Regulated Hazmat Training	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 3 Fully Regulated Hazmat Training</a> Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier 2 and Tier 3 shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier 2 Shipping Records required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 2 Shipper's Declaration	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 2 Box UN4G Required	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 2 Cargo Aircraft	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".



Battery Sticker Type	Tier 2 UN 3480 Class 9 Sticker (IATA)	DOT Low Energy Sticker has a red outline and must be labeled with shipment type (UN3480 or 3481) ( <i>emergency response phone number not required</i> )
DOT SP #	"DOT SP 21704" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
Outer Box Statement	"Recycled Lithium Batteries" at least 0.5" in height must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	#N/A	
Other Conditions	Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier.	

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## 2.1.A Damaged, Defective, or Recalled

### Special Permit 21193 (Low Energy)

#### GENERAL RULES FOR ALL SHIPMENTS:

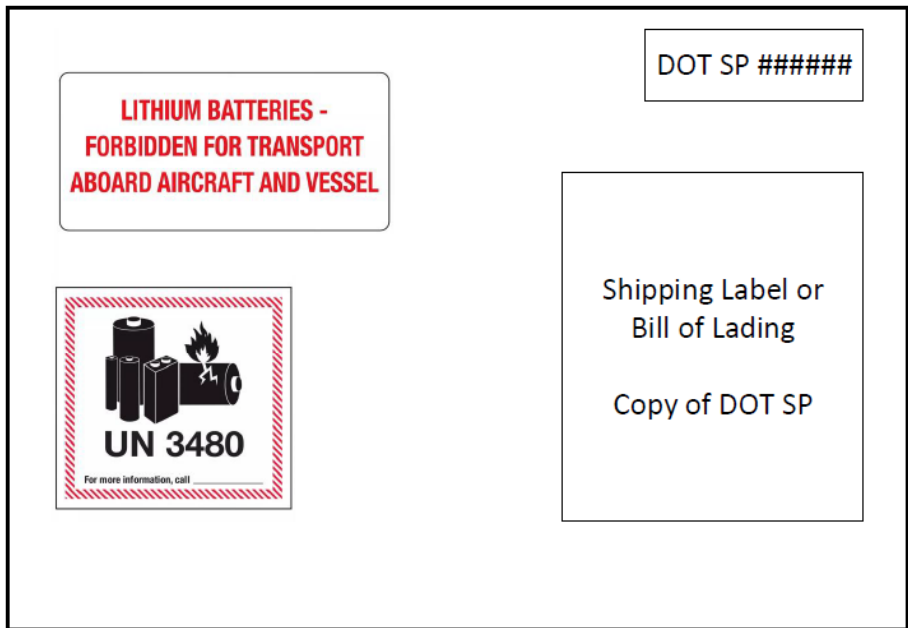
- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

2.1.A SafeX Shipping Checklist for Damaged, Defective, or Recalled (DDR) with Special Permit 21193 (Low Energy)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	2.5 kWh/30 kg/100 kg ( <i>See notes</i> )	Shipper can pack multiple cells/batteries/pieces of equipment under 30 kg, or a single unit of any type up to 100 kg
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 1 Shipping, Handling & Closure	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 1 Shipping, Handling &amp; Closure Training</a>
Shipping Records	Tier 1 Shipping Records not required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 1 Bill of Lading or Packing List	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 1 Any Fitted Cardboard Box	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 1 "For Ground Transport Only - Forbidden for Transport by Aircraft or Vessel"	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".
Battery Sticker Type	Tier 1 Low Energy Sticker (Red Outline)	DOT Low Energy Sticker has a red outline and must be labeled with shipment type (UN3480 or 3481) and emergency response phone number
DOT SP #	"DOT SP 21193" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper



Outer Box Statement	"Damaged/Defective Lithium Ion Battery" at least 1" tall must be visible outside of the box	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	Shipping Document must state "CONTAINS DAMAGED, DEFECTIVE, RECALLED LITHIUM CELLS AND BATTERIES IN ACCORDANCE WITH DOT SP 21193"	
Other Conditions	All Batteries Shipped under DDR Status must have a completed UN 38.3 to be eligible for shipping. Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier.	

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## 2.1.B Damaged, Defective, or Recalled

Special Permit 21193 (High Energy)

### GENERAL RULES FOR ALL SHIPMENTS:

- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

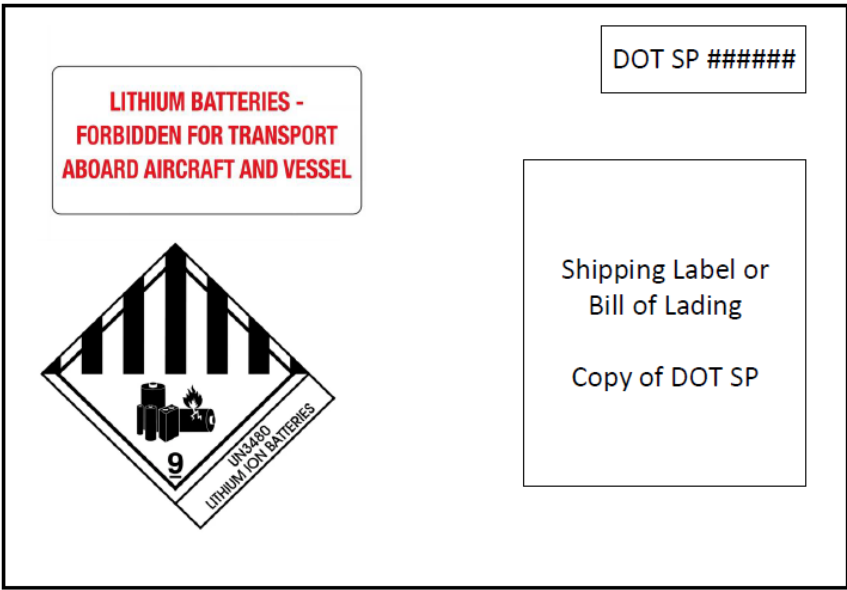
2.1.B SafeX Shipping Checklist for Damaged, Defective, or Recalled (DDR) with Special Permit 21193 (High Energy)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	2.5 kWh/30 kg	
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 2 Online Training and Quiz Handling & Closure	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 2 Online Training and Quiz Handling &amp; Closure</a> Tier 2 and Tier 3 shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier 2 Shipping Records required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 2 Shipper's Declaration	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 2 Box UN4G Required	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 2 Cargo Aircraft	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".
Battery Sticker Type	Tier 2 UN 3480 Class 9 Sticker (IATA)	Emergency response phone number must also be printed on the outside of the box
DOT SP #	"DOT SP 21193" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper





Outer Box Statement	“Damaged/Defective Lithium Ion Battery” at least 1” tall must be visible outside of the box	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	Shipping Document must state "CONTAINS DAMAGED, DEFECTIVE, RECALLED LITHIUM CELLS AND BATTERIES IN ACCORDANCE WITH DOT SP 21193"	
Other Conditions	All Batteries Shipped under DDR Status must have a completed UN 38.3 to be eligible for shipping. Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier.	

**OUTER BOX LOOKS LIKE:**



**DISCLAIMER:**

This Graphic is a decision-making aid and is not a substitute for the training deemed necessary by the end user's choice of shipping method and Special Permit used. User bears the responsibility of knowing and complying with the regulations set within the HMR and DOT Special Permits listed above, which can be found on KULR's Website.



## 2.1.C Damaged, Defective, or Recalled

Special Permit 21193 (High Energy > 1000 lb)

### GENERAL RULES FOR ALL SHIPMENTS:

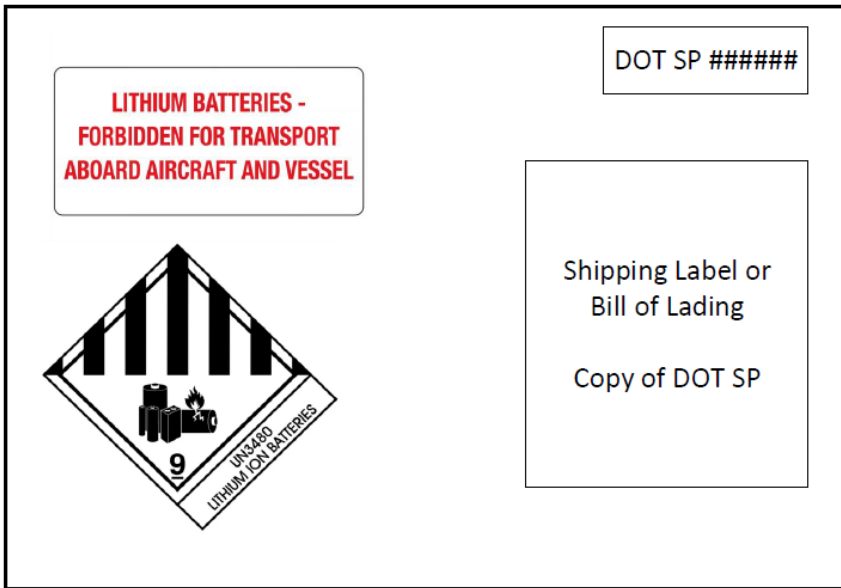
- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

2.1.C SafeX Shipping Checklist for Damaged, Defective, or Recalled (DDR) with Special Permit 21193 (High Energy > 1000 lb)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	2.5 kWh/30 kg	
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 3 Fully Regulated Hazmat Training	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 3 Fully Regulated Hazmat Training</a> Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier 2 and Tier 3 shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier 2 Shipping Records required	When required (Tier or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 2 Shipper's Declaration	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 2 Box UN4G Required	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 2 Cargo Aircraft	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".
Battery Sticker Type	Tier 2 UN 3480 Class 9 Sticker (IATA)	Emergency response phone number must also be printed on the outside of the box



DOT SP #	"DOT SP 21193" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
Outer Box Statement	"Damaged/Defective Lithium Ion Battery" at least 1" tall must be visible outside of the box	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	Shipping Document must state "CONTAINS DAMAGED, DEFECTIVE, RECALLED LITHIUM CELLS AND BATTERIES IN ACCORDANCE WITH DOT SP 21193"	
Other Conditions	All Batteries Shipped under DDR Status must have a completed UN 38.3 to be eligible for shipping. Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier.	

**OUTER BOX LOOKS LIKE:**



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## 2.2.A Damaged, Defective, or Recalled

Special Permit 21693 (Low Energy)



### GENERAL RULES FOR ALL SHIPMENTS:

- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

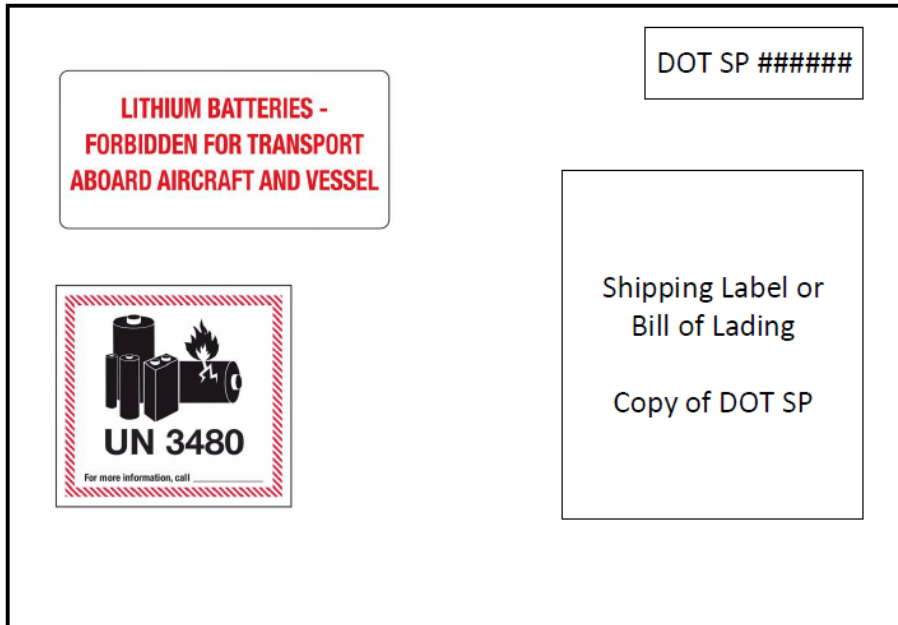
To obtain information on shipping through UPS using special permit 21693 for DDR batteries, customers should contact HMSC at 800-554-9964. Possessing a hazmat or DG contract with UPS does not qualify for participation, as it is a separate program.

2.2.A SafeX Shipping Checklist for Damaged, Defective, or Recalled (DDR) with Special Permit 21693 (Low Energy)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	UPS for Shipments < 30 kg/Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	300 Wh/70 lbs per package	
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 1 Shipping, Handling & Closure	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 1 Shipping, Handling &amp; Closure Training</a>
Shipping Records	Tier 1 Shipping Records not required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 1 Bill of Lading or Packing List	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 1 Any Fitted Cardboard Box UNLESS <i>Shipping a single cell/battery/piece of equipment &gt;30 kg, then UN Box required</i>	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 1 "For Ground Transport Only - Forbidden for Transport by Aircraft or Vessel"	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".
Battery Sticker Type	Tier 1 Low Energy Sticker (Red Outline)	DOT Low Energy Sticker has a red outline and must be labeled with shipment type (UN3480 or 3481) and emergency response phone number



DOT SP #	"DOT SP 21693" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
Outer Box Statement	"Damaged/Defective Lithium Ion Battery" at least 1" tall must be visible outside of the box	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Other Conditions	Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier.	Does not apply for UPS Shipments

**OUTER BOX LOOKS LIKE:**



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## 2.2.B Damaged, Defective, or Recalled

Special Permit 21693 (High Energy > 1000 lb)



### GENERAL RULES FOR ALL SHIPMENTS:

- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

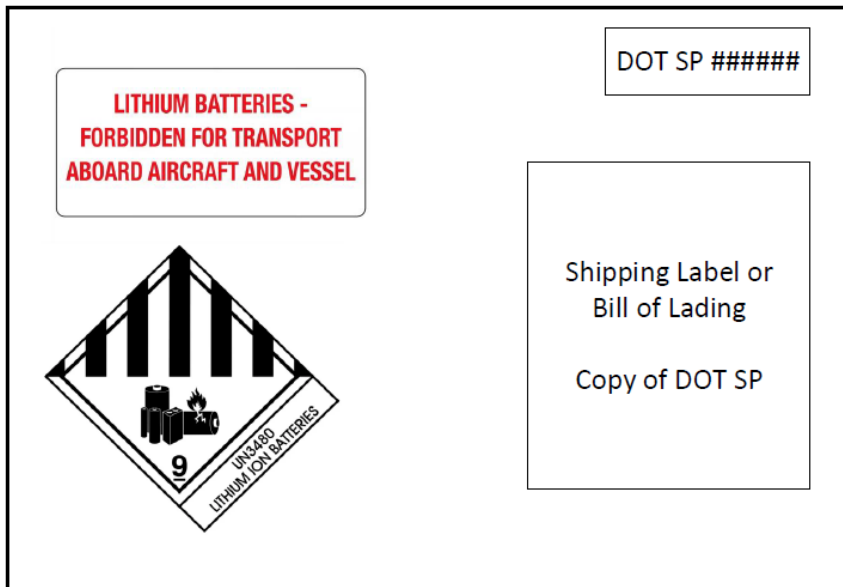
To obtain information on shipping through UPS using special permit 21693 for DDR batteries, customers should contact HMSC at 800-554-9964. Possessing a hazmat or DG contract with UPS does not qualify for participation, as it is a separate program.

2.2.B SafeX Shipping Checklist for Damaged, Defective, or Recalled (DDR) with Special Permit 21693 (High Energy > 1000 lb)		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Motor Vehicle/Rail	
Carriers Accepted	Freight Carrier	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	300 Wh/70 lbs per package	Shipper can pack multiple cells/batteries/pieces of equipment under 30 kg, or a single unit of any type up to 70 kg
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 3 Fully Regulated Hazmat Training	<a href="#">SafeCASE Training</a> <a href="#">SLEEVE Training</a> <a href="#">Tier 3 Fully Regulated Hazmat Training</a> Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier 2 and Tier 3 shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier 2 Shipping Records required	When required (Tier 2 or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 2 Shipper's Declaration	When required (Tier 2 or higher), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 2 Box UN4G Required	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 2 Cargo Aircraft	Stickers available from popular packaging retailers or can be written/printed in a font size of at least ¼".



Battery Sticker Type	Tier 2 UN 3480 Class 9 Sticker (IATA)	DOT Low Energy Sticker has a red outline and must be labeled with shipment type (UN3480 or 3481) and emergency response phone number
DOT SP #	"DOT SP 21693" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
Outer Box Statement	"Damaged/Defective Lithium Ion Battery" at least 1" tall must be visible outside of the box	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Other Conditions	Multiple packages at or below their prescribed weight limit can be consolidated and palletized for shipment via freight carrier.	

**OUTER BOX LOOKS LIKE:**



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## 3.1.A Prototypes

### Special Permit 21167

#### GENERAL RULES FOR ALL SHIPMENTS:

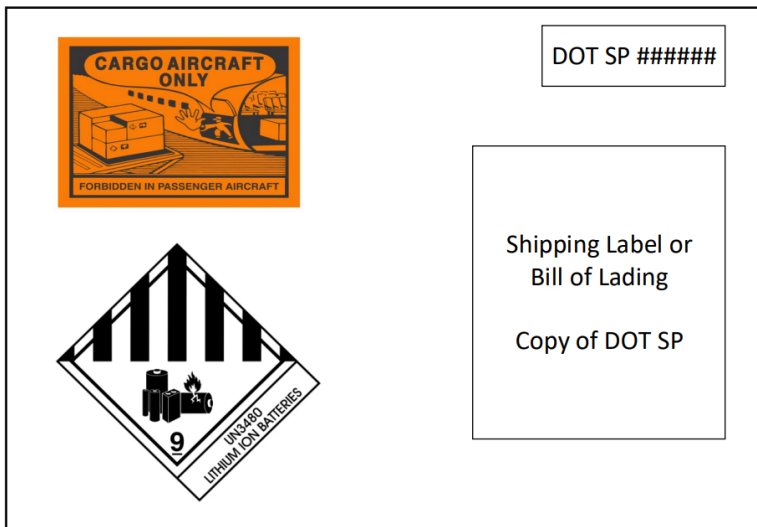
- It is best practice to ship cells/batteries at <30% SOC (State of Charge)
- For shipping purposes, Low Energy or "Tier 1" includes batteries ≤20 Wh and cells ≤300
- High Energy or "Tier 2" includes batteries ≥20 Wh and cells ≥300 Wh
- "Tier 3" is for shipments >1,000 lbs and requires full HMR Training
- Batteries (UN3480) must be protected against short circuits/reverse flow of current
- Equipment (UN3481) must be protected from activation
- UN Rated 4G Box is always a sufficient outer packaging choice unless otherwise stated
- Make sure the box's UN Number is not covered by tape or other placarding
- Non-Cardboard Outer Packaging choices can be found in the special permits but are not provided by KULR at this time
- All packages should be kept away from heat sources
- Current copies of the special permits used should be kept on site at any facility using the permit
- "Supplementary Training" Referenced in these guides is provided by KULR on the website

3.1.A SafeX Shipping Checklist for Prototypes with Special Permit 21167		
Basic Requirements: Modes of Transport, Carriers, Capacity/Limits		
Item	Terms	Notes
Modes of Transportation	Aircraft	
Carriers Accepted	TBD	Shipping under the SP is at the discretion of qualified carriers
Capacity Limits	2.5 kWh per case/35 kg net battery weight	Shipper can pack multiple cells/batteries/pieces of equipment under 30 kg, or a single unit of any type up to 100 kg
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier 3 Fully Regulated Hazmat Training	<a href="#">SafeCASE Training</a> <a href="#">Tier 3 Fully Regulated Hazmat Training</a> Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier 2 and Tier 3 shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier 2 Shipping Records Required	When required (Tier 2), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier 2 Shipper's Declaration	When required (Tier 2), Shipper's declaration must be kept by shipper and available to auditors for at least 2 years
Packaging, Placarding, Paperwork		
Item	Terms	Notes
Packaging Requirement	Tier 2 UN4G Box Required	UN4G box is the easiest and most preferred option, but additional outer packaging can be found in the body of the Special Permit. At time of publication, KULR only provides and/or plans to provide UN4G boxes for its customers
Forbidden Transport Sticker	Tier 2 Cargo Aircraft Only	Forbidden for transport by ferry or cargo vessel
Battery Sticker Type	Tier 2 UN 3480 Class 9 Sticker (IATA)	DOT Low Energy Sticker has a red outline and must be labeled with shipment type (UN3480 or 3481) and emergency response phone number



DOT SP #	"DOT SP 21167" Must be plainly visible on the outside of the box	This can be a sticker, handwritten, or printed on computer paper
Outer Box Statement	N/A	This can be a sticker, handwritten, or printed on computer paper
DOT SP DOCUMENT	DOT Special Permit being used on the shipment must be attached to the outside of the box next to the shipping label.	This can accompany the shipping document (Shipper's Declaration, Packing List or Bill of Lading) inside a document pouch or other attachment method. Tip: To use less paper, print on both sides and select the "Multiple" and "2 by 2" pages per sheet options in your print menu.
Supplementary Packing List Statement	Dangerous Good Declaration will cite Packaging Instruction 910.	
Other Conditions	<p>Please see section 7.b of the permit for information on testing requirements before shipping under this permit. Shippers under this permit must keep records of tests in addition to records of training and shipments.</p> <p>User of this permit requires advance notice of 5 business days per A88 requirements. See special permit text Section 8.f for more info.</p>	This permit has highly technical requirements and should only be used by shippers trained and experienced with battery regulations.

**OUTER BOX LOOKS LIKE:**



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+1 (858) 866-8478



SafeCASE@kulrtechnology.com



555 Forge River Road Unit 100  
Webster, TX 77598

