Minimum Requirements for Self-Collection

SHARED RESPONSIBILITY – REACHING DESTINATIONS SAFELY

THESE MINIMUM REQUIREMENTS

Along with its regulations, serves to ensure that transports of products from Lülsdorf Functional Solutions GmbH are conducted safely, securely, without harming the environment and with respect for all relevant statutory regulations. Therefore, self-collection customers respectively the logistics service provider contracted by them are obliged to acknowledge these Minimum Requirements and to observe the specifications contained herein.

Introduction

Lülsdorf Functional Solutions GmbH (hereinafter referred to as the client) places great value on ensuring that products and raw materials are transported safely and in a sustainable manner, without harming the environment or impairing their quality, while taking customer wishes into account. This results in greater requirements for the logistics service providers (hereinafter contractor), which are specified in their requirements for Road Haulage and Multimodal Transport of Lülsdorf Functional Solutions GmbH.

The objectives of this requirement profile are to ensure security and safety under consideration of environmental and sustainability aspects during transport of chemical goods. The protection of people and the environment has absolute priority over economic success.

Meeting the safety-related requirements from the above-mentioned requirements profile, summarized in the present "Minimum Requirements for Self-Collection", is also expected of the customers of Lülsdorf Functional Solutions GmbH that pick up their own goods or have it done by service providers that are authorized by the customers of Lülsdorf Functional Solutions GmbH to pick up their goods. The scope of the Minimum Requirements for Self-collection Customers encompasses transport in national and international road haulage, including multimodal transport by rail and/or inland waterway in Europe (including pre- and on-carriage transport to/from seaports and airports for maritime and air transport).

The Minimum Requirements for Self-collection Customers are checked at incoming inspections and by loading supervisors at the plants of Lülsdorf Functional Solutions GmbH. Failure to observe these requirements can lead to rejection of the vehicles that are provided for pick-up.

When the term "self-collection customer" is used in the following text, it means in general that the self- collection customer itself and in particular any logistics service provider contracted by it to make the pick-up.

Since compliance with all legal requirements by the self-collection customer is a prerequisite, the Minimum Requirements for Self-collection Customers, with few exceptions, do not contain a repetition of the legal requirements.

Furthermore, it also applies (if applicable) to disposal transport. Excluded from this are the proof of cleaning certificate for tank vehicles/containers (see Appendix 1, A. 1.4.3, and A.1.3.5). If cleaning certificates are required for certain disposal transports, this will be agreed bilaterally with the respective contractor. When awarding contracts for waste disposal transports, the contractors are familiar with all applicable waste regulations and comply with them. In the case of domestic German waste disposal transports, this includes the participation in the electronic verification procedure (waste law verification ordinance).

This requirements profile of the client is based on the corresponding basic requirements of the chemical industry (laid down in the requirements profile of the *Verband der Chemischen Industrie e.V.* in the currently valid version). Annex 3 (Liability and insurance) are exclusively 'Contractor-specific requirements.

As the client requires that all relevant statutory regulations be compiled by the contractors, this requirements profile does not contain any requirements, with a few exceptions, that already result from statutory regulations.

In addition, the Contractor is obliged to comply with all anti-corruption laws applicable to the legal relationship between the Contractor and the Client. Any violation of this constitutes is a breach of contract, which justified the right of the client to extraordinary termination.

1. CONTRACTOR'S COMPANY PROFILE

The contractor must provide the client with the following information:

1. Legal form of this company
2. Headquarter
3. Managing Directors
4. Group affiliation / shareholder.
5. Organization chart/subsidiaries/significant investments
6. Range of Services
7. Dangerous Goods Officer
8. Security Officer (in connection with chapter 4)
9. Management system representative
10. Status regarding certifications, attestations, approvals (such as ISO 9001, ISO 14001, EN 16258, Good Manufacturing Practice [GMP], Safety Quality Assessment System [SQAS], Authorized Economic Operator [AEO], Regulated agent/Regulated Agent, Hazard Analysis and Critical Control Points (HACCP) – concept for storage and transport)
11. Emergency plan / emergency telephone number(s)
12. Operation pandemic plan
13. Proof of insurance
14. Full address (with contact details and internet address)
15. Status of further certification beyond them mentioned in point 1.10 (e.g., ISO 22000, GMP, UKASTA, AEO/ZWB)

The customer is obliged to inform about any significant changes to his company profile without being asked.

2. VEHICLES; CONTAINER AND ADDITIONAL FACILITIES

1. The vehicles, containers and additional equipment used for loading and unloading are in proper condition and make a good visual impression, while complying with legal and other official regulations as well as the additional contractual requirements for the goods to be loaded that were specified when the order was awarded.

2. Vehicles should have safety-enhancing equipment (e.g., driver assistance systems.)

3. Vehicles should be equipped with anti-theft devices, equipment, or procedures against theft.

4. Vehicles should be low-emission, low-noise, and energy-saving (see 6.2.)

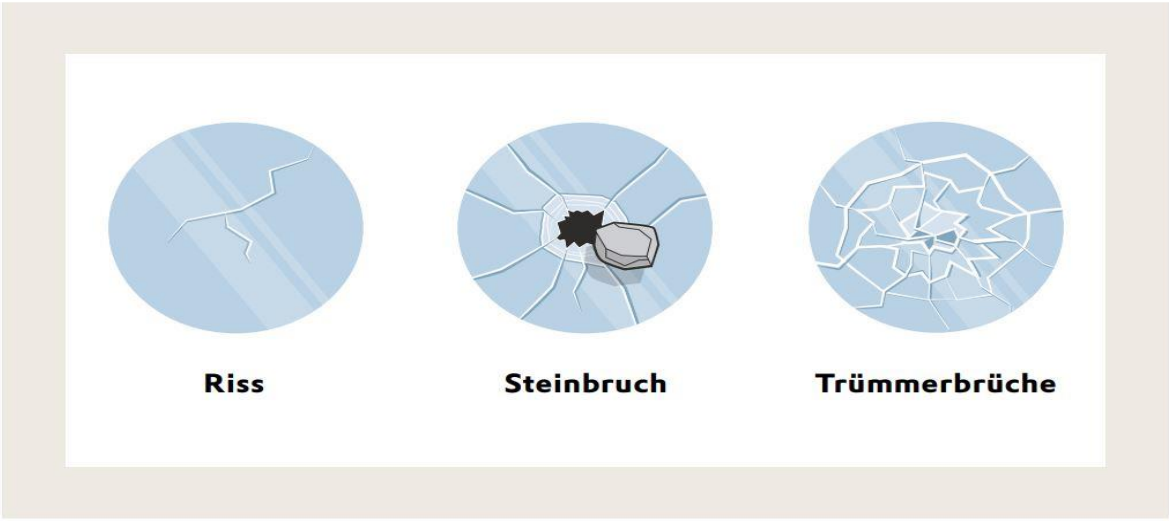
5. Swap bodies and semi-trailers for combined transport should be labelled with the owner identification for European loading units (ILU code published by the UIRR – Union International Rail-Route)

6. For planned transports in Ro/Ro haulage, the vehicles must be equipped with facilities (lashing eyelets, equipment to block suspension travel, etc.) which permits secure lashing on board and prevent the transported unit from shifting during heavy seas.

7. The minimum requirements specified in more detail in the annexes 1 and 2 must be heeded (as far as applicable).

8. Vehicles for the loading of dangerous goods are consistently inspected by the client in accordance with subsections 7.5.1.1 and 7.5.1.2 ADR. Vehicles that do not meet applicable legal regulations will be rejected. Among other things, these checks include the equipment prescribed in subsection 8.1.4. and 8.1.5 of the ADR and to the equipment listed in the written instructions pursuant to subsection 5.4.3. ADR regarding the performance of the general and any additional and / or special measures. Even vehicles that do not fulfil the vehicle-specific requirements of this requirement profile can also be rejected.

9. Windshields must be undamaged (see illustrations below). This particularly applies to areas directly in the driver's field of vision, which we consider to be the area above the first windshield wiper. Damage outside of this field of vision (such as chips caused by stones) can also result in rejection if larger than a € 2,00 coin or involving cracks that could not be described as minimal.



10. The shovel required for hazardous materials as per 5.4.3 ADR will be complied with, if a shovel or spade (also collapsible types) of metallic material or robust plastics with a handle is carried in the vehicle. Shovels with a short handle (such as dustpans) are not acceptable. The working length of a shovel (from the tip of the blade to the end of the handle) needs to be at least 100 cm. Collapsible spades are tolerated if they have a working length of at least 55 cm when unfolded.

11. For the transport of dangerous goods, the requirements of 8.1.5.2 ADR for the "eye flushing liquid" to be carried along are considered met, if a bottle of fresh, clear, uncarbonated water or an eye flushing bottle with special eye flushing liquid is carried along. In the case of the latter, the expiration date may not be exceeded.

12. The transport of dangerous goods under the relaxed requirements of subsection 1.1.3.6 ADR (meaning waivers in connection with quantities that are carried per transport unit) requires prior consent by the respective loading station. If consent is not given by them, then the provisions of the dangerous goods regulations must be fully observed, even for quantities below the limits specified in 1.1.3.6 ADR.

13. If the vehicles to be loaded have containers or swap bodies, then the corner casting locks (twist locks) must be properly locked.

14. When transporting products which, for safety reasons, are subject to temperature control (if so, corresponding information is part of the orders), the vehicles shall be fitted with the necessary temperature display and alarm equipment, and nothing else may ever be added to the load. Exceptions to this rule require the approval of Lülsdorf Functional Solutions GmbH. Before such products are loaded, the loading unit shall be pre-cooled to the working temperature of the cooling equipment.

15. In addition to 2.1, vehicles from non-EU member states registered after 2015 must be equipped with an emergency brake assistance system (AEBS) in line with EU regulations.

16. If vehicles are equipped with an emergency brake assist system (AEBS), this must not be deactivated by the driver while driving.

3. PERSONS INVOLVED IN THE TRANSPORT

1. The self-collection customer shall use dependable, properly trained drivers who are in possession of a valid driving license and have sufficient driving practice; in the case of dangerous goods, the driver shall have the relevant certificates of training and instruction in safety.

2. The self-collection customer shall provide the drivers with all the relevant knowledge and documents necessary for safe and qualified implementation of the order, e.g., for dealing with.

    - dangerous goods and wastes,
    - the vehicle's technical equipment,
    - cargo-securing equipment,
    - loading devices
    - personal protective equipment

3. Upon request by Lülsdorf Functional Solutions GmbH, contractor's driver must present the documents required under § 7b of the German law governing freight haulage (GüKG).

4. The self-collection customer undertakes to organize the work of its driving personnel to comply with the required driving and resting times.

5. No persons who are not part of the vehicle crew may be in the vehicles of the self-collectors when they enter the Lülsdorf Functional Solution GmbH premises.

6. The announced internal regulations applicable for fenced locations as well as any plant-specific instructions must be observed at the loading and unloading stations.

7. There is a general alcohol and drug ban (even for carrying in the vehicle).

8. The contractor must ensure that the drivers and their vehicles are always effectively secured against unintended rolling (for instance parking brake and, if necessary, use of wheel chocks)

9. Drivers shall remain in or near their vehicle during loading and unloading or officially inform a person responsible from Evonik Industries AG, when they leave the vehicle and when they return.

10. Drivers are always obligated to have the following personal protective equipment with them at the plants of Lülsdorf Functional Solutions GmbH and to wear it when they leave their vehicles:

    - Clothes which completely cover the body.
    - Protective shoes (acc. to ISO EN 20345), closed (min. safety level S 1)
    - Hard helmet
    - Protective glasses
    - Warning vest (EN 471)

    Note to 3.10.2: Safety shoes that are open at the back (e.g., clogs with steel toe caps) are not accepted.

If a co-driver is present during the respective transport (in case of hazardous goods), then items belonging to the personal protective equipment must also be carried for the co-driver.

11. The following additional personal protective equipment must be carried in the vehicle for loading and unloading liquid and solid bulk loads and must be used by the driver as required when loading and unloading the vehicle:

    - Protective clothing (according to the goods being loaded)
    - Protective shoes (according to ISO EN 20345), impervious to fluids (min. safety level S 2)
    - Chemical-resistant protective gloves (according to the goods being loaded)
    - Tight-fitting protective goggles
    - Protective face mask (for corrosive liquids / gases)
    - Breathing protection (according to the goods being loaded)
    - Safety harness for hooking into the fall protection system.

12. If (in the case of dangerous goods) there is a co-driver is in the vehicle who has no valid driving license and/or no ADR training certificate, that person must be able to present confirmation from his/her employer (the carrier) that he/she is acting as an official co-driver. If so, the requirements for personal protective equipment apply also for that person.

13. Requirement 3.2. is extended to the effect that.

    all drivers of the contractor must have at least basic knowledge of the language of the country ‘German’ (or English) of the respective loading point.

    - Drivers of tank trucks must be trained on all activities involved in filling and emptying, as well as climbing the tank and working on the tank top.

    If the personnel at the plant entrance or filling station have the impression that due to the driver's lack of qualifications and/or inability to communicate the necessary safety at the plant or at the filling station is endangered, this may lead to the rejection of the respective vehicle.

4. SECURITY

1. The driving staff must be able to present authorization to pick up the load. It must be possible to identify the vehicle and the entire vehicle crew (by official identity card with photo, e.g., personal identity card, passport, driving license, or ID card). This is designed to prevent the goods from being transferred to unauthorized persons.

2. The self-collection customer is either a recognized "authorized economic operator" - AEO) F or S or informs Lülsdorf Functional Solutions GmbH upon request in the form of a security declaration (e.g., standard "AEO-Security Declaration" of the European Commission) that he/ she meets the requirements relevant for the security of the delivery chain.

3. When reporting the load, the self-collection customer shall ensure that the driver will be able to present the following documents as authorization to pick up the load, so that Lülsdorf Functional Solutions GmbH can identify the load to be transferred and the vehicle. This authorization should be a self-collection customer's official, written load order (with name of the carrier, product description, transport number, and, if applicable, recipient of the goods). Alternatively, the driver may present only a reference number (e.g., transport number), if he can answer at least one further control question (e.g., product designation, consignee) about the load to be collected upon request. This authorization can also be demonstrated on an electronic device.

   Note: As a rule, no loading should be possible in the plants of Evonik Industries AG without presentation of these documents. However, exceptions to this rule are possible (e.g., for regularly recurring pick-ups and/or drivers at short intervals)

4. The self-collection customer agrees that goods that are stored, transported, delivered to, or received by an approved economic operator (AEO) pursuant to an order shall be stored and / or loaded at secure operational areas or transshipment locations and that these goods will be protected against unauthorized access during loading, unloading, and transport. Furthermore, the self-collection customer shall ensure that the personnel used for storage, loading, transport, and receipt are dependable.

5. To prevent smuggling of people and/or goods in and on the transport units in which the client's goods are transported, the contractor must ensure that the transport units are regularly checked for integrity and hidden smuggling opportunities.

3. USE OF SUBCONTRACTORS

1. If the contractor does not conduct the transport itself, it shall only use carefully selected, dependable subcontractors.

2. The contractor shall ensure and vouch for the fact that the subcontractors used by it fulfil the present requirement profile equally.

3. The contractor’s management system must include the use of subcontractors.

4. The contractor may only use subcontractors who have taken out transport liability insurance including CMR liability.

5. The name of the subcontractor used by the contractor and any other subcontractor shall be notified to the client upon request prior to the provision of the vehicle.

6. If the Contractor passes on the Client's transport orders to other contractors (i.e., commissions subcontractors to do so), he must ensure that they are aware that they may not commission any other (sub)contractors to do so. Should this become necessary in exceptional cases, the consent of the client is needed.

6.TRANSPORT

1. Safety

1.1. Departure inspection: Before the transport, the road safety and the completeness of the vehicle equipment shall be checked by the driver. The prescribed or agreed equipment shall be continued all the vehicles until the transport has been completed.

1.2. Legally prescribed and any further prohibitions of Evonik Industries AG regarding the loading of certain goods together in the same transport unit shall be observed (see Annex 2, A.2.10 and A.2.11)

1.3. For loading, vehicles must be provided whose maximum payload meets the requirements for the order (taking legal requirements into consideration)

1.4. Particularly safe transport routes shall be chosen (i.e., preferably limited access motorways, if necessary, by-passing designated protected areas and avoiding routes through purely residential areas)

1.5. If vehicles with dangerous loads are parked, they must be guarded or parked such that sufficient security is guaranteed. The applicable regulations must be complied with.

1.6. The reloading of complete or partial loads (from a gross weight of 3000 kg) requires the consent of the client. If reloading is necessary during the transport, the vehicle condition, driver, etc. must fulfil the same conditions as in the case of loading at the client's works.

1.7. The driver must make the vehicle available for unloading at the place assigned to him.

1.8. The driver may only unload on the instructions of an authorized representative of the consignee (and under his supervision).

1.9. The Contractor must (in the case of hazardous goods) provide a 24-hour standby service for transport incidents. In emergencies, a responsible and competent person must be available.

1.10. The contractor must have taken measures to help prevent the vehicles from overturning while travelling. Such measures may, for example be: - implementation of Directive 2003/59/EC on the initial qualification and periodic training of drivers of certain road vehicles for the carriage of goods or passengers; - implementation of the ECTA Best Practice (BBS) Guideline 'Safety through correct behavior - Guideline for the safe driving of heavy goods vehicles (see www.ecta.com).

1.11. For transloading operations initiated by the self-collection customer during a transport, the self-collection customer must comply with all the requirements, particularly as specified in Annex 2.

2. ENVIRONMENT AND SUSTAINABILITY

2.1. Environmental impacts must be avoided and, if unavoidable, minimized as far as possible.

2.2. The contractor must be prepared, as far as possible, to minimize the emission of greenhouse gases and/or organizational measures to positively reduce greenhouse gas emissions (in relation to the client's transport operations) and reduce them.
Possible technical and/or organizational measures can be:

- Certification according to ISO 14001 or Eco-Management and Audit Scheme (EMAS)
- Modal shift (contractor should be able to offer intermodal transport solutions)
- CO2 report for the contractor's company,
- Driver training in accordance with ECO-Drive and Behavior Based Safety (BBS) as standard in the company,
- Use of vehicles with favorable exhaust emission values
- Use of technical measures to reduce emissions from vehicles with lower emission standards (e.g., engine throttling),
- Use of quality tires,
- Use of low-friction oils,
- Use of modern telematics/tour planning and optimization systems,
- Use of alternative drive technologies,
- Further aerodynamic measures to reduce air resistance.

The effectiveness of the measures taken must be checked by the contractor.

2.3. Valid, standardized and therefore comparable data on CO2 emissions are an important basis for reducing greenhouse gases. The greenhouse gases generated during the transport of raw materials and finished products are also included in the balance. The shipment-related specification of energy consumption and greenhouse gas emissions in accordance with DIN EN 16258, stating the parameters and methods used (e.g., VCI guidelines for determining CO2 emissions in logistics in the chemical industry) are to be made available upon request.

2.4. Contractors are expected to comply with the internationally recognized minimum standards of the UN Global Compact and the core labor standards of the International Labor Organization (ILO).

2.5. The contractor shall maintain an environmental management system based on ISO 14001. In the event of price parity, companies certified in accordance with ISO 14001 will be given preference when awarding contracts.

7. DELIVERY SERVICE / INFORMATION

1. The Contractor shall support the Client's efforts to provide a customer-orientated delivery service, among other things by

    - Acceptance of the goods at the agreed time.
    - Compliance with the agreed and specified delivery times and specified delivery dates.
    - Compliance with recipient instructions and regulations upon delivery, as far as they do not contradict those of the client.
    - Determination of the respective location of a consignment within a reasonable period.
    - informing the client without delay in the event of delays in transport route, notification of the reason for the delay, measures taken and the expected new delivery date.
    - Immediate information of the client about complaints regarding the quality and quantity of the goods, which the consignee shall note in writing upon acknowledgement.

2. The Contractor shall be responsible for the correct and timely forwarding of the relevant information - e.g., safety data, order status, reference number of the client or customer - to form an unbroken chain of information (e.g., to subcontractors).

3. All information and data provided must be treated confidentially.

4. The Contractor shall ensure that the information which is normally regarded as a business secrets of the Client are treated as strictly confidential, are not disclosed to third parties and not used for its own commercial purposes. This also includes knowledge of the facts based on which the logistics prices/rates are determined. Furthermore, the contractor must ensure that the logistics conditions agreed with the client are kept confidential vis-à-vis third parties is maintained.

8. TRANSPORT/ACCOMPANYING DOCUMENTS

1. Transport documents must be filled out correctly and be carried together with the other accompanying documents.

2. When a forwarding order is placed by the client, the contractor must enter himself as the "consignor" in the consignment note.

3. Upon conclusion of a contract of carriage between the principal and the contractor the contractor must enter the client as the "consignor" in the consignment note.

4. The goods may only be handed over against a written acknowledgement of receipt (receipt). This must be made available to the Client within a reasonable period upon and may also be archived digitally by the Contractor.

5. Transport documents / accompanying documents or their contents shall not be made accessible or handed over to third parties – except for regulatory controls.

6. Transport documents which do not concern the current transport must be separated from those that do concern the current transport.

7. The documentation for the transport of dangerous goods (such as the ADR training certificate of the vehicle driver or approval certificates) must always be presented in the original version.

8. All details for the preparation of transport documents are to be taken exclusively from the written order of the client.

9. For cross-border transport (transport into third countries and intra-community transport), the self-collection customer must provide the following:

    - for transport into a third country an export certificate as per § 10 Paragraph 1 No. 2 of the German Turnover Tax Implementing Regulations (UStDV), or
    - for intra-community transport, a shipment certificate as per § 17a Paragraph 3 Sentence 1 No. 1 Letter a of the German Turnover Tax Implementing Regulations (UStDV). As a rule, the interactive PDF form provided by Lülsdorf Functional Solutions GmbH will be used for this purpose. In exceptions, a paper document can also be used in accordance with official requirements.

10. If dangerous goods related proof documents are presented laminated for inspection, this may lead to rejection of the vehicle at some shipping offices. To avoid such rejections, drivers of self-collectors are recommended either not to present laminated proof documents or to inquire about their acceptance at the respective shipping point in advance.

11. For vehicles registered in Germany, the vehicle registration (Zulassungsbescheinigung Teil I, so called “Fahrzeugschein”) must be presented. If this is carried only as a copy, then the inspection certificate from the last major inspection must also be presented.

12. For transport orders of the client, which are concerned by § 35b of the German Ordinance on the Transport of Dangerous Goods by Road, Rail and Inland Waterways (GGVSEB), the self-collector must apply for the routing determinations as per § 35a GGVSEB and – if applicable – for the approval as per § 35 (4) GGVSEB, and forward these documentation to the client upon request before carrying out the first transport and ensure the presentation of these documentation during regular operations (by the driver).

13. When for the transport of products of the client, which are concerned by 35b) of the German Ordinance on the Transport of Dangerous Goods by Road, Rail and Inland Waterways (GGVSEB) and hence in Germany are subject to §§ 35 and 35a GGVSEB, vehicles in accordance to the exemptions mentioned in § 35c GGVSEB are provided for loading, the self-collector shall forward the respective evidence to the client before carrying out the first transport and ensure the presentation of the respective evidence during regular operations (by the driver) upon request.

9. ACCIDENTS/DAMAGE/LOSS

1. Whenever persons are endangered and / or the environment is influenced, the fire department and/or police must always be notified. Furthermore, the following information must be provided to the client at the telephone number shown in the transport order or – outside office hours – at client's emergency telephone number.

    - 1 Name and company of the reporting person.
    - 2 Registration number and type of vehicle, freight carrier, forwarding agent.
    - 3 Place, time, and description of the accident / damage incident.
    - 4 Number of injured / dead, extent of product leaked, police / fire brigade present at the site.
    - 5 Consignment data (order number. destination, transport company, forwarding agent)
    - 6 Measures conducted or arranged by the driver.
    - 7 Options for calling back for further information (name, address, telephone, fax)
    - 8 If appropriate, the loss adjuster involved (name, address, telephone, fax).

2. For every accident / case of damage in connection with the transport, the self- collection customer respectively the logistics service provider contracted by him shall prepare a report and send it to Evonik Industries AG without delay.

3. The client shall be informed immediately about recognizable damage and loss of goods, regardless of cause or responsibility.

4. In the event of an imminent or existing danger during transport (e.g. an impending product reaction or a product spill), the driver must immediately take all appropriate measures (considering the principle of self-protection) that appear suitable according to the situation and nature of the situation to avert danger to third parties, the environment, animals, and the load.

5. In any case, if persons and/or the environment are endangered, always inform the police and/or fire brigade immediately. Immediately afterwards, the client must be informed as well.

6. When Lülsdorf Functional GmbH's products are damaged during transport, get out of control, or are stolen, then client shall be informed without delay.

7. Damaged packaging containing the client's products may only be forwarded with the express consent of the client. This applies to hazardous goods which must be transported in compliance with the regulations.

10. MANAGEMENTSYSTEMS / AUDITS

1. The Contractor shall apply a management system based on ISO 9000 ff.

2. Upon request, the Contractor shall - to the extent permitted by data protection law - grant the client or its authorized representative access to the system documentation and allow an audit of the operating procedures.

3. Safety and quality audits by the client or external inspection companies are based on the "SQAS Transport Service" question catalogue of the European Chemical Industry Council (CEFIC). This catalogue of questions is also recommended to contractors for self-assessment.

4. The Contractor shall maintain an integrated USGQ management system geared to the needs of the chemical industry. To be able to easily assess this system and compare it with competitors, the client attaches great importance to the contractor completing and maintaining an SQAS assessment in accordance with the guidelines of the European Chemical Industry Council (CEFIC) is completed and maintained (for detailed information see www.sqas.org).

5. Contractors transporting products that are part of the food or feed production chain (this also includes food and feed additives) are obliged, in accordance with the legal requirements, to register as a feed business operator in accordance with Article 9 (2) of Regulation (EC) No. 183/2005 (feed hygiene rules) and/or as a food business operator in accordance with Article 6 of Regulation (EC) No 852/2004 (food hygiene rules) and to present this registration to the client upon request.

6. Contractors in the tank/silo sector who transport products that are part of the food production chain must maintain an integrated management system in accordance with ISO 22000:2005 that covers HACCP, IFS, BRC and GMP+.

ANNEX 1

LIQUID AND DRY BULK GOODS IN TANKS, ROAD TANK-/SILO VEHICLES, TANK-/SILO CONTAINERS, THROUGHS, AND DUMP TRUCKS

The contractor requirements are as follows:

A.1.1 Technical components

A.1.1.1 Vehicle equipment, such as containers, emptying devices, pumps and any hose material carried by the vehicle, fittings, and seals shall be clean, dry, and free of odors, unless different product specific agreements have been made.

A.1.1.2 Technical and visually fault-free and pressure-tested hose material shall be used that is suitable for the respective cargo.

A.1.1.3 Hose material which is used for specified products / product groups, shall be clearly marked, and may only be used for these specific products / product groups.

A.1.1.4 For liquids, stainless steel pressure tanks shall be used, providing there are no different requirements.

A.1.1.5 Vehicle registration certificates shall be carried in the vehicle and presented upon request. Upon request, tank approvals for the transported goods shall be provided within a reasonable period.

A.1.1.6 For safety reasons (surge effect), the minimum tank filling level prescribed for the transport of dangerous goods shall also be observed for the transport of non-dangerous goods. The contractor shall therefore provide containers that can meet this requirement. The contractor must ensure the following:

A.1.1.7 Information on the presence of surge plates.

A.1.1.8 The compartment number shall be marked on the dome lids, filling connections, and corresponding outlets.

A.1.1.9 Details of the tank / compartment volume shall be marked clearly and be permanently affixed to the dome lids and filling connections.

A.1.1.10 The vehicle shall be fitted with devices (rings) for attaching product signs and lead seals to outlets and dome lids.

A.1.1.11 All the emptying devices shall be closed properly before filling, and all the filling devices after filling.

A.1.1.12 The vehicle shall be fitted with a clearly marked and fully functional grounding device.

A.1.1.13 As a rule, entry into the empty vehicle tanks / containers on the premises of the client or its customers is not permissible. If entry is made, the appropriate safety regulations must be observed.

A.1.1.14 When climbing on tank / silo vehicles, drivers must use either personal fall safety equipment provided by the plant or their own inspected equipment. Furthermore, they must be trained in putting on and using such safety equipment.

A.1.1.15 Vehicles with a tipping device must be secured against movement with the loading area against movement.

A.1.1.16 If tools are used to open/close the dome cover, they must not cause sparks.

A.1.1.17 The client's loading personnel must be reliably informed by the driver about the capacity of the tank or tank compartments and the maximum permissible payload.

A.1.1.18 Flammable liquids may not be unloaded (pressed out) using compressors.

A.1.1.19 For transports of products for which the client requires a certified standard in accordance with GMP+ B4 (e.g. for certain fillers and food/feed additives), the self-collection customer must not provide any bulk cargo space, for loading, which had ever previously been used for the transport of prohibited substances or materials of freight category 1 (“Transport Exclusion List”), such as meat-and-bone meal.

Exceptions to this are bulk loading areas, which, after the transport of such substances/ materials, have been recertified/released after suitable cleaning and disinfection under stringent conditions followed by an assessment by an EN 45004-accredited inspection body specifically approved for the inspection of bulk cargo spaces.

A.1.1.20 Silo and tank vehicles, demountable tanks as well as silo and tank containers that are used for the transport of foodstuffs and animal feed are not authorized for the products of the client. Exceptions to this rule are possible for certain products of the client that are intended for the food or feed industry (e.g., feed additives). In the event of uncertainty, the client's consent must be obtained before the product is provided.

A.1.1.21 In the case of deliveries commissioned by the client, sampling (if necessary) at the recipient (customer of the client) by the vehicle driver is neither agreed nor is this desired by the client and therefore not a service owed by the contractor. If sampling is required at the unloading point, this is not to be carried out by the driver.

A.1.1.22 On the premises of the Client and its customers, the vehicle tank may only be climbed onto by the driver when the vehicle is at the loading or unloading station and suitable fall protection is used.

A.1.2 Product residues

The aim is to empty the tanks completely. If, due to unavoidable technical inadequacies, product residues are also found the tanks are only to be cleaned/disposed of after consultation with the client.

A.1.3 Cleaning stations

A.1.3.1 The logistics service provider contracted by the self-collection customer is responsible for the selection of suitable and reliable cleaning stations. A cleaning station regarded as suitable is a station which has the necessary authorization (about operation and disposal) and conducts cleaning and disposal in line with legal regulations and official approval certificates.

It is assumed that the operators of the cleaning station commit themselves to conduct necessary measures (servicing, maintenance, repairs) in due time and document these procedures, only using qualified staff and allow audits to be carried out if necessary.

It is therefore recommended that the logistics service provider contracted by the self-collection customer use cleaning companies that have done an SQAS assessment for tank cleaning systems.

A.1.3.2 Tank cleaning always depends on the last goods loaded and, as far as is known, the next goods to be loaded and is conducted in agreement with the cleaning station.

A.1.3.3 The client provides the self-collection customer with product information as needed (e.g., safety data sheet) to ensure proper cleaning and disposal. Proofs of disposal shall be provided to the client upon request.

A.1.3.4 In the case of tank/silo vehicles and tank/silo containers that are used on a long-term basis for the transport of a specific product (resolute/one-way transport), the client's instructions regarding cleaning and disposal must be observed.

A.1.3.5 The Contractor must always have tank cleaning conducted at tank cleaning facilities that are members of the European Tank Cleaning Organization (EFTCO). This principle may be deviated from in exceptional cases if the basic requirement is economically unreasonable in certain cases. This must be demonstrated to the client in a suitable manner upon request.

A.1.4 Proof of Cleaning

A.1.4.1 All cleaning companies are obligated to issue proof of cleaning which clearly states that the tank/silo has been cleaned properly. It is recommended that the “EFTCO Cleaning Document be used for this.

A.1.4.2 The proof of cleaning should include the following minimum standards:

1 Format of the document: DIN A4

2 Sequential, unique numbering, safeguarded technically against duplication and forgery.

3 The document must contain at least the following information:

- Identification of the tank cleaning plant with full address, fiscal and commercial information and – where available – national membership and a reference to EFTCO
- Identification of the customer (contractual partner)
- Identification of the vehicle / tank
- Arrival and departure times of the vehicle
- Information about the cleaning work done, showing the pre-determined code for the cleaning process (tank, hoses, pumps, valves)
- For each cleaned compartment, information about the last loaded product with technical description and UN number

Notes: This nomenclature is available in six languages and has been accepted by all national associations of cleaning plant operators The EFTCO Cleaning Code can be downloaded from the Internet as a PDF file at http://www.eftco.org. This nomenclature can be expanded as needed to include additional codes and languages.

4 Signature of the cleaning manager and the contractual partner’s representative (the driver)

Note:

- *Non-binding: Information about the next load.*
- *The cleaning process is either printed in full and marked with an “X" or printed out in full after successful cleaning with details of the steps conducted.*

A.1.4.3 Before loading, the proof of cleaning must be provided to the loading unit.

A.1.4.4 The cleaning certificate to be submitted by the Contractor in accordance with A.1.4.3 must be issued by a tank cleaning facility that has a valid assessment in accordance with SQAS Tank Cleaning. This principle may be deviated from in exceptional cases if this is economically unreasonable in certain cases. This must be demonstrated to the client in a suitable manner upon request.

The electronic tank cleaning certificate (eECD) started in early 2019 by ECLIC will replace the paper ECD in the medium term. The client will gradually change over to eECD as proof of

cleaning and asks its contractors to take part in this system (information at www.eclic.eu), which entails becoming licensed as equipment operator.

A.1.4.5 In the case of disposal transports (waste), instead of the proof of cleaning (if required), a written confirmation by the self-collector that the tank prepared for loading is either cleaned or, if it is uncleaned, that the pre-charge (and any residues of the pre-charge in the tank) is compatible with the cargo shall suffice. Should the client require proof of cleaning for certain disposal transports in accordance with A.1.4, this shall be agreed bilaterally with the self-collector.

A.1.4.6 Cleaned containers and feeding lines shall be free of any residue from previous transport jobs. (See A.1.4.5 for exceptions to this rule.)

A.1.4.7 The self-collection company is responsible for faults caused by a cleaning company commissioned by the self-collection customer as if they were its own faults.

A.1.5 Proof of previous load

A.1.5.1 All logistics service providers whose tanks/silos are reloaded upon agreement without being cleaned shall guarantee that proof of previous load (example see Attachment) will be drawn up and provided.

A.1.5.2 The proof of previous load shall contain at least the following details:

1. Name of the logistics service provider.
2. Number of the vehicle, tank, chamber.
3. Product
4. chemical-technical description (not simply the trade name)
5. dangerous goods class.
6. Last client order number, loading date.
7. Voucher number, date, stamp, signature.

These details can also be recorded on the pick-up note.

A.1.5.3 The electronic proof of previous load (ePPL) started in early 2019 by ECLIC will replace the paper proof of previous load in the medium term. The client will gradually change over to electronic proof of previous load (ePPL) and asks its contractors to take part in this system (information at www.eclic.eu), which entails becoming licensed as equipment operator.

A.1.5.4 The company issuing the proof of previous load proof of previous load shall make sure that no impurities whatsoever (e.g., dust, foreign particles, condensation) have entered the tank / silo after unloading and that the tank / silo is closed on being sent for renewed loading.

A.1.6 Inspection before loading

A.1.6.1 The logistics service provider contracted by the self-collection customer shall give the personnel of the client the opportunity of checking the proper condition of the tank / silo and the emptying equipment before loading.

ANNEX 2

PACKAGED GOODS IN TRUCKS, CONTAINERS, AND SAWP BODIES

The contractor requirements are as follows:

A.2. packaged goods

A.2.1 Provide vehicles / containers / swap bodies with cleanly swept, dry, nail-free cargo areas that can be used by a fork-lift truck (durability as per DIN EN 283).

A.2.2 Provide vehicles that have their own on-board re-usable cargo-securing devices in adequate numbers and dimensions and in proper condition, such as

1. Separators (such as clamping plates and insert rigging boards or adjustable partitions),
2. Lashing equipment (such as standardized belts [LC = ≥2500 daN (straight traction) and STF 300 daN], chains, ropes, nets),
3. non-slip mats,
4. Loading areas with retractable lashing rings in accordance with EN 12640 or lashing point rails (multi-hole strip) or similar fixing points.

A.2.3 Provide vehicles/containers, in which the walls, floor, and roof as well as doors, door seals, and weather protection is in proper technical condition.

A.2.4 Driver checks the cargo for external damage and completeness (for packages / packaging units placed on pallets and any packages placed inside outer packaging, the number of loading units is checked), if the driver is present during loading.

A.2.5 Drivers approve the measures taken to secure the cargo and support the loading staff if requested (e.g., the laying out of anti-slip mats).

A.2.6 Proper load securing throughout to the last unloading point, if necessary, by

- additional securing in the event of partial unloading or reloading and
- traffic and weather-related checks of the load about stowage and securing of the load during transport and, if necessary, re-securing of the load.

A.2.7 No movement of vehicles (empty or loaded) with open drop sides or cargo bay doors.

A.2.8 applies in addition to A.2.6:

Checking (by visual inspection) the load securing during the duration of the transport (i.e., during intermediate stops, e.g., due to driving time breaks and/or when driving to additional loading and unloading points) for obvious defects. This applies if the originally installed load securing has been changed (e.g., by reloading, partial unloading, additional loading).

If obvious defects are found during a visual inspection, the driver of the self-collector shall remedy them with the means at his disposal. If this is not possible, the onward transport must be interrupted until the defects have been rectified. The driver must coordinate the procedure for rectifying the defects with the dispatch center or vehicle dispatch of the self-pickup truck or the dispatch center of the client. This applies particularly when the originally applied cargo-securing devices have been changed (e.g., due to reloading, partial unloading, additional loading).

Note: The obligation for the above-mentioned visual inspection does not apply if the contractor took over sealed transport resources from the client at the start of the trip. In the case of transport units sealed by the client, if there is a high probability that the cargo-securing devices put in place by the client may have lost their effectiveness due to abrupt driving maneuvers, the trip must be interrupted and the self-collection customer's control center contacted to clarify what further action to take (e.g. consultation with Lülsdorf Functional Solutions GmbH about the removal of the seal to check the cargo-securing devices).

A.2.9 No use of vehicles which are clearly recognizable as vehicles transporting food and feedstuff or which can be presumed to be transporting food and feedstuff due to markings on the vehicle. Exemptions to this basic rule are possible for Lülsdorf Functional Solutions products which are destined for the food or feed industries (e.g., food and feed additives) and Plexiglass® products. If the situation is unclear, approval shall be obtained from the client before the vehicle is provided for loading.

A.2.10 No use of vehicles that are partially loaded with food- or feedstuffs, alcohol, or tobacco, and, during the transport, no further loading of other load being food- or feedstuffs, alcohol or tobacco to the client's load. Exceptions are possible for client's products that are not classified as dangerous according to the Supply & Use and / or transport regulations (e.g., food and feed additives, silica products). However, the product groups feed additives and silica must not be loaded together in the same vehicle.

Note: The term "vehicle" is understood in such a way that, when cargo transport units are provided that consist of two load carriers (i.e. truck & trailer), in which food and feed are loaded in only one of the two load carriers, but the other has enough space for the load of the client, they are acceptable for loading.

A.2.11 Provision of vehicles that comply with DIN EN 12642 in terms of their body stability. The client prefers vehicles with a body stability in accordance with DIN EN 12642 Code XL.

A.2.12 If sliding tarpaulin vehicles (tautliners/curt insiders) are provided for loading, the additional requirements apply to these (see Annex to this Appendix).

A.2.13 Vehicles carry enough correctly proportioned cargo-securing devices, e.g. for palletized goods or intermediate bulk containers (IBC).

For each pallet row at least one lashing belt with ratchet as per EN 12195 Part 2 in proper technical condition, with a length of at least 8m, for the fixing of the load units by force locking or form locking (direct lashing).

At some of the client's loading points, longer lashing straps than 8 m are required. The contractor will be informed of this separately if necessary.

At least minimum twenty lashing belts of this specification and enough gliding edge fasteners must be carried. Deviations from his rule (meaning fewer lashing belts) are possible (e.g., due to multi-hole rail and the intention to use form-locked loading for Code XL vehicles or by filling up all empty spaces), but this requires the approval of Lülsdorf Functional Solutions GmbH.

On some loading points of the client more than twenty lashing straps are required. The contractor will be informed of this separately if necessary.

In addition, six additional lashing belts of the same specification for formation of blocks, or other lashing devices, such as chains or ropes, as needed, as per EN 12195 Parts 3 and 4.

Notes (for all vehicle types):

- *When lashing down, the belts must be fastened such that the maximum permissible vehicle width of 2.55 m is not exceeded.*
- *It must be ensured that belts cannot fall off the vehicle during transport or damage the load.*
- *The client does not allow belt anchoring using the vehicle side walls.*

A.2.14 Lashing belts must be taken out of service if they show signs of damage. (The criteria for the readiness for discarding of lashing straps are in the standard EN 12195-2 described.)

Regular visual inspection before and after each use is recommended.

A.2.15 Equipment of the vehicles and swap bodies with end-to-end multiple rails with lashing points in the side part of the loading area (≤ 150 mm)

If there are no multi-hole rails, the client expects the vehicle to be equipped at least with lashing points as per DIN EN 12640:2000 and a lashing point strength of at least two thousand daN.

The lashing points must be structurally positioned on/in the loading area so that they are in front of and freely accessible and movable after the loading process and, e.g., cannot be blocked by the goods even when the entire surface is loaded.

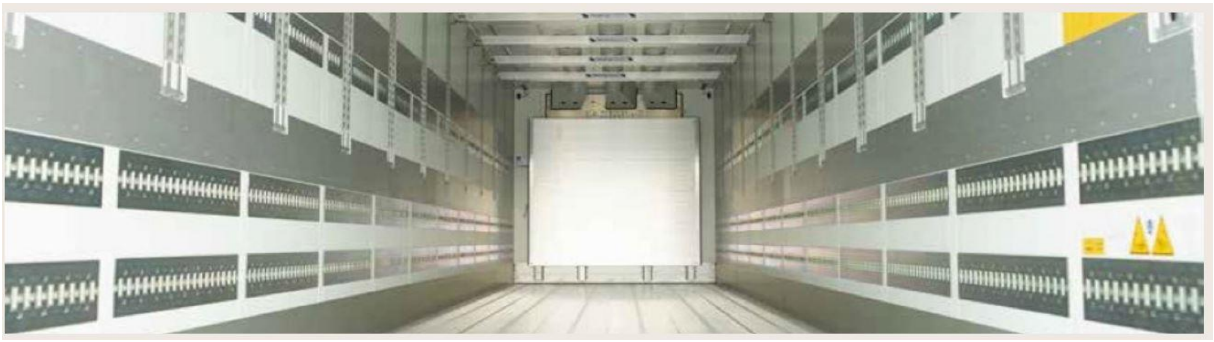
For closed vehicle designs, the possibility that the lashing belts can fall out must be excluded. If the lashing point location is unfavorable, so that the pressure point cannot be positioned on the load when the belt is pulled down, then additional effort to switch to other cargo-securing measures can be required. The additional effort by the client can also lead to the rejection of the vehicle.

Note (for all vehicle types):

Vehicles without adequate equipment for the lashing points and without adequately stable sides are excluded from loading.

A.2.16 For standard sheeted sideboard vehicles, the side insert rigging boards (provided these comprise part of the vehicle body) must be complete and undamaged, at least to the upper edge of the load. For form-locked loads, the insert rigging boards must be made of metal materials (for curt insiders / tautliners: see attachment to this annex).

A.2.17 If vehicles with box-type bodies are provided for loading, they must be equipped with a suitable retention system (e.g. an appropriate number of form-locking telescoping stanchions and hole rails in the side walls at adequate height), which can be fixed in place and is suitable for the nature and weight of the cargo to be loaded, to secure the load opposite to the direction of driving (see photo of an ideal box-type vehicle and following comments).



Notes:

- *If enough lashing points are provided as per EN 12 640 as well as lashing belts, the load can also be lashed alternatively by the client by means of diagonal lashing.*
- *The use of telescoping stanchions which can be positioned only via friction locking and are therefore ineffective physically (except in the case of extremely light goods with a retention force < 50 daN) will not be accepted by the client.*
- *To ensure proper load securing even with low load units, the client strongly recommend when purchasing new vehicles with a box body to include this anchor rail retention system in three different levels (approx. 40, 80 and 160 cm from the ground). Box bodies must also be certified according to EN 12642 Code XL. The certificate describes the structural strength and must be carried.*

A.2.18 Load units (such as film-wrapped or shrink-wrapped pallets) may not be changed without the express consent of Lülsdorf Functional Solutions GmbH.

A.2.19 Continuously temperature-controlled transport of goods specified in the order confirmation as temperature-sensitive or the continuous frost-proof transport of goods specified in the transport order as frost-sensitive (in each case in accordance with the agreement).

A.2.20 If vehicles are provided that already have foreign cargo loaded on the cargo bed, it must be secured in accordance with specifications. If this is not the case, the driver is given an opportunity to secure the foreign cargo properly. If that person is unable to do so, Evonik Industries AG will refuse the loading of the vehicle.

Note:

Conducting securing measures and / or re-loading previously loaded cargo will be rejected by Evonik Industries AG for reasons related to insurance contingencies.

A.2.21 No transport units with single-axle trailers or trailers with tandem axles may be provided. Exceptions may be made to this rule on a case-by-case basis. The client must be consulted in advance, however, and provide its express consent.

A.2.22 Loading space(s) of vehicles provided for the transport of Lülsdorf Functional Solutions GmbH's products that are used to produce food and feedstuffs (such as certain fillers and feed additives) must be dry and clean (i.e., free of any residue and odor of previous loads).

A.2.23 Containers provided for loading must have valid CSC approval (especially the test date) or, alternatively, valid ACEP approval.

A.2.24 The contractor must ensure that the goods taken over by the client can be unloaded at the recipient without hindrance from other goods (e.g. are easily accessible on the transport unit and are not piled up with other goods) and that the client's metal barrels are not wrapped with any kind of film during the transport (to avoid corrosion due to condensation water) without the consent of the client.

A.2.25 If tarpaulins of curt insiders and open-top containers show cracks/tears (longer than 6 cm) and/or holes (diameter > 3 cm), this may lead to rejection of the vehicle. Effectively repaired cracks and/or holes are not considered a reason for rejection.

A.2.26 If cargo-related friction enhancing materials (e.g., anti-slip mats) are required for load securing, self-collectors shall provide them for all goods to be loaded. No anti-slip mats are required for vehicles with an anti-slip coated surface with a verifiable friction coefficient of 0.6 μ (regardless of the type of load).

Comments to anti-slip mats:

When using anti-slip mats for load securing of load units:

- *all of them must have the same thickness.*
- *must not be discardable.*
- *must have a coefficient of friction of at least 0.6 μ and should have a minimum thickness of 6 mm and a minimum size of 1200 mm x 100 mm (length x width)*

Alternatively, ant-slip mats in other dimensions (e.g., 300 mm x 200 mm) are also accepted. When using other anti-slip mats, there must be no mixed friction, i.e., they must be designed so that there is no contact between the load and the vehicle loading surface even under load.

A.2.27 Special feature for ferry traffic over sea (Ro/Ro traffic)

Due to the vertical acceleration forces that arise in maritime transport, the cargo may have to be additionally secured by lashing down. This can only be waived if the cargo can be loaded in a form-fitting manner, the vehicle body conforms to the DIN EN 12642 Code XL and can safely absorb the acceleration forces that arise in maritime traffic. Otherwise significantly longer loading times must be expected which the contractors must be considered accordingly.

A.2.28 Special feature for vehicles ≤ 3,5 t permissible gross weight (e.g., CEP services):

Such vehicles must (in the case of dangerous goods) have a partition wall as a separation between the cargo area and the passenger compartment, be equipped with lashing points in accordance with DIN ISO 27956 and carry suitable load securing aids.

ANNEX 2 / ATTACHMENT

REQUIREMENTS FOR CURTAINSIDER/TAUTLINER VEHICLES PROVIDED FOR LOADING

A.2.A.1 Vehicle types

A.2.A.1.1 As far as possible, transport units should be provided with verified body strength as DIN EN 12642 Code XL or verified equivalent body strength.

A.2.A.1.2 However, vehicles should be provided with a verified body strength at least as per DIN EN 12642 Code L.

A.2.A.1.3 Vehicles with undefined (not verified) body strength are usually not accepted by the client. If in isolated cases such vehicles are nevertheless to be loaded, this requires the express consent of the client's respective loading station.

A.2.A.2 The following applies to all vehicle types

A.2.A.2.1 Insertable rigging boards must be in proper technical condition at least to the upper edge of the load.

Since Code XL side curtains are too elastic for form-locking cargo- securing methods when wooden insert rigging boards are the only load securing equipment, the rigging boards must be made of metallic material.

A.2.A.2.2 Vehicle equipment with multi-hole rails with lashing point intervals of ≤ 150 mm is preferred by the client.

If no multi-hole rails are available, there must be lashing points as per DIN DN 12640 at intervals of ≤ 600 mm.

A.2.A.2.3 Pallet stops should be present on the long sides of the cargo area.

A.2.A.2.4 Two-layered cargo stacking is only permissible if the acceleration forces are either proved to be safely absorbed by the vehicle body (also in the upper body section) or if force locking is used to secure the load. The applicable regulations (see 7.5.7.2 ADR) also apply when transporting dangerous goods. If there is any doubt as to whether the shipping items can be stacked, the client shall decide whether to allow double-layered cargo stacking (by inserting an interim layer, e.g. plywood or synthetic sheeting to help distribute the weight).

A.2.A.3 The following applies in addition to curtain-sider/tautliner vehicles as per DIN EN 12642 Code XL:

A.2.A.3.1 A valid certificate must be carried in the vehicle, stating the types of loads that can be secured by form locking.

A.2.A.3.2 Three pairs of reinforced sliding stanchions and five light- weight metal rigging boards per stanchion area, anchored in the lateral floor area as needed and with the possibility of inserting blocking beams at the side.

A.2.A.3.3 These boards must be so stable that they can withstand a lateral load pressure of 5000 daN and a lateral acceleration of 0.5 g, when form-locked loading is used. Alternatively, higher-quality side boards can be used (thus reducing the number needed, e.g., when using systems by Allsafe TruXafe). Corresponding stability values should be marked on the side boards.

ANNEX 3

LIABILITY AND INSURANCE

A.3.1 The contractor shall be liable to the client for any damage caused by it in accordance with the respective liability provisions from the acceptance of the order until delivery to the final recipient.

A.3.2 The contractor obliges:

- to take out an insurance policy for its liability for domestic German transport in accordance with HGB §407 ff and for cross-border transports according to CMR,
- insurance for its liability for inland transport/domestic transport in other European countries in accordance with the applicable national law,
- vehicle liability insurance with the inclusion of an amount of cover for personal injuries in each case in the amount of the legally minimum amount of cover prescribed by law of the country,
- public liability insurance with cover of at least € 1 million per loss event for personal injury and property damage, and to maintained.

If the contractor uses subcontractors, he must oblige them to ensure the liability according with CMR and for internal transport/domestic transport in other European countries as well as a liability insurance for the vehicles used in accordance with the nationally legal minimum amount of coverage and a public liability insurance in the amount specified in the 4th bullet point under A.3.2.

A.3.3 The contractor confirms the insurance cover in accordance with the above provisions by written acknowledgement of this requirement profile.

A.3.4 At the special request of the client, the contractor shall confirm the respective insurance cover by means of a written certificate from its insurers of its subcontractors.