

QMH & SQAS & LFSP & AEO	Checklist for Requirements Profile and Transport Description Rudolf-Luckenbach-Intern.Spedition GmbH	Section 9.3.10 Checklist No. 10
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Management-systems in Accordance with DIN ISO 9001:2008 and SQAS

Supplier evaluation

Dear Sir or Madam,

In the summer of 1995 our company introduced a QM System in accordance with DIN EN ISO 9002 which we had certified and which was adjusted to the reformed standard DIN EN ISO 9001:2000 in 2001. After 7 years the standard was changed to DIN EN ISO 9001:2008 for clarification and better understandability, and integrated into our system.

One major aspect of our documented quality policy is that contractually defined quality requirements of our customers are complied with in full.

This requires, among other things, that our suppliers must also ensure that the defined quality requirements for the customer-specific products and services are also complied with in full.

For this reason we require all suppliers to undergo an assessment. As a *first* measure in this process please find enclosed our Requirements Profile/Transport Description.

Although your obligations as a contractor to observe the legal regulations are not affected by this Requirements Profile, particular legal requirements that are important for some of our customers are listed here. We would also like to expressly state that our company has been approved by the German Civil Aviation Authority in Braunschweig as a RegB (regulated agent) from 5 October 2011 and that the status of "AEO F – customs simplifications, security and safety" was granted by the principal customs authority in Cologne. As a result of the AEO certification, particular obligations arise for our service providers. These are listed in Appendix "B" and compliance with the same by our service providers is a requirement for our working together.

If you have recently received a Requirements Profile from us, please bear in mind that since the last Requirements Profile was supplied major changes have been made to or in, for example, the ADSp (German Freight Forwarders' Standard Terms and Conditions), combating wage dumping, the ADR (The European Agreement concerning the International Carriage of Dangerous Goods by Road), health and safety policies and environmental policies which have resulted in greater demands being made of you.

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Please return Appendix "A" to us by letter mail or fax with a legally binding signature.

If you consider these requirements to include unclear or critical points, please notify us of your objections in writing within 14 days. If we do not receive an objection from you within this period, we shall assume that you have understood and accepted all the conditions and will comply with them.

Best regards,

Rudolf Luckenbach
Intern. Spedition GmbH

Appendices:

- A) Requirements Profile
- B) Transport Description

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A) Questions regarding the company profile:

1. Legal form:
2. Head office:
(complete address with tel./fax No., if applicable email address and website)
3. Managing director:
4. Range of services:

5. Hazardous goods officer/deputy:
(with tel./fax extension, if applicable email address)
6. Quality management representative:
(with tel./fax extension, if applicable email address)
7. Status of quality assurance:
(e.g. certificates and other measures)
8. Status
 - a) "AEO-secure supply chain"
 - b) "Regulated agent air cargo safety"
9. Safety/Environmental protection officer:
10. Emergency plan:
(emergency on-call service, 24-hour phone number, documents processes/procedures)
11. Major changes to the company profile must be reported to us without being requested.

Responsible for the correctness of the information and compliance with the requirements in accordance with Part B:

Place/Date

Company stamp

B) Transport description:

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The following points must be borne in mind and complied with in the case of transports on behalf of Rudolf Luckenbach-Int. Spedition GmbH:

Technical equipment

1. The vehicles provided for loading and unloading must be in proper technical condition and of a proper appearance, and also comply with the legal and official regulations and the requirements for the goods to be loaded when the order was placed.
2. The vehicles and loading units must comply with the requirements of the means of transport to be used, in particular of multimodal traffic (including ferry traffic).
3. Developments which increase safety, such as ABS, ASR, retarders and speed limiters, must be taken into account when vehicles are chosen.
4. Preferred use should be made of low-emission, noise-reduced and energy-saving vehicles.
5. Vehicles which are used for transporting dangerous goods must be equipped with a telecommunication system (e.g. a mobile phone).
6. Vehicles for transporting dangerous goods must be safeguarded by anti-theft devices (e.g. break-in/anti-theft alarms and/or mechanical or electronic immobiliser systems).
7. Vehicles which are used for transporting customs-related or safety-related goods must be lockable.

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Persons involved in the transport:

1. The contractor shall have reliable, professionally trained drivers with valid driving licences and sufficient driving practice and, in the case of ADR goods, with corresponding training certificates.
2. The contractor shall undertake to observe §§ 7b and 7c of the GüKG (Road haulage law – see the relevant EU regulation No. 484/2002). The driver must present the documents referred to in § 7 of this law when requested to do so.
3. The contractor must provide the driving personnel with all the information and all the documentation required to ensure that the order is completed safely and professionally, e.g. for handling
 - 3.1. the technical equipment in the vehicle,
 - 3.2. the equipment for securing the cargo,
 - 3.3. the loading equipment,
 - 3.4. the personal protective equipment,
 - 3.5. customs-related or safety-related goods.
4. When dangerous goods are transported, the driving personnel must familiarise themselves with the contents of the accident procedures sheets before loading the goods and place these sheets in the place provided for them in the vehicle.
5. Factory-specific instructions from the shipper/recipient must be observed.
6. The driving personnel must wear the required protective clothing when loading or unloading the goods.
7. When dangerous goods are transported, persons who do not belong to the company may not travel in the vehicle. Staff members may only travel in the vehicle if they have the required training certificate.

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8. All existing bans on alcohol, smoking and drugs must be observed.
9. When loading or unloading, the driving personnel must remain in or near the vehicle or, in exceptional cases, officially notify a person responsible on the shipper's/recipient's side of their absence.
10. If danger threatens during transport (e.g. because a product has been discharged or is reacting), the driver – while always ensuring their own safety – must immediately take all suitable measures which, depending on the place and type of situation, seem appropriate to prevent danger for third parties, the environment, animals and cargo, or to prevent damage.
11. The contractor must ensure that the drivers of the vehicles provided for loading can understand and read at least one language of the ADR member states through which the transport is to pass through. Exceptions to this rule must be agreed upon.
12. When dangerous goods are transported, the contractor must nominate a hazardous goods officer and commission this person to perform the relevant duties.
13. The contractor must ensure that no one who is included in the “Denied Persons List” of the US Department of Commerce (see <http://www.bxa.doc.gov/DPL/thedeniallist.asp>) or who are listed in EU regulation No. (EG) 881/2002 and its amendments is involved in the customer's transfer orders.
14. Drivers must undergo regular training, also with regard to “BBS (Behaviour Based Safety)” and defensive driving and observing their own safety, e.g. mandatory use of the seat belt!
15. Drivers must undergo regular training for vehicle/loading unit inspections for the transportation of sensitive and customs-related goods.

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Safe and environmentally friendly transport

1. Before goods are transported, the driver must use checklists to ensure that the vehicle is safe and that its equipment is complete. The prescribed and agreed equipment must be transported on/with the vehicle until the transport has been completed.
2. The statutory prohibition of mixed loading and any customer regulations which go beyond this must be observed.
3. Transfer to other haulage subcontractors shall require our permission. Such haulage subcontractors must satisfy all the relevant requirements.
4. The maximum permissible total weight may not be exceeded. The provisions of the highway code/road traffic licensing regulations must be observed; in the case of international transport it may be necessary to comply with regulations which differ from these.
5. Reloading of partial or complete loads shall in each case require the permission of the customer.
6. Secure transport routes must be selected (i.e. preferred use of motorways, if necessary bypassing declared protected areas, avoiding driving through purely residential areas).
7. The driver may only unload goods or prepare to unload goods on the recipient's premises when instructed to do so by a person responsible on the recipient's side.

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8. It is required that the contractor shall be willing to use multimodal transport concepts when these are operationally feasible and make economic sense.
9. Environmentally harmful influences must be avoided, and where unavoidable must be kept to a minimum.
10. The contractor must maintain a 24-hour on-call service for emergencies, i.e. they must ensure that a responsible and, if required, skilled person is immediately available in the event of emergencies.
11. The contractor must ensure that both the equipment for securing the cargo which is supplied by the shipper and, if applicable, by the customer is checked and if necessary secured at appropriate intervals (e.g. during rest periods) over the whole course of the transport or when it has been subjected to unusual strain (such as sharp/emergency braking, abrupt manoeuvres, etc.). This shall apply in particular when the original equipment for securing the cargo has been changed (e.g. as a result of reloading, partial unloading/adding to the cargo or in the event of disruptions during the transport caused by traffic or the weather).
12. If products are damaged or lost during transport, the customer must be notified immediately.
13. Damaged packaging containing products may only be transported further than originally agreed with the customer's express permission. This shall apply in particular for ADR goods, which must be transported in accordance with the relevant regulations.
14. When ADR goods need to be reloaded by the contractor, the contractor must ensure that the written instructions about how to behave in the case of emergencies or incidents (accident procedures sheet) provided by the customer are always readily available at the reloading point. ADR goods, whether in barrels or sacks, may never be loaded on top of each other, nor may harmless products (chemicals) be stacked.
15. The relevant national tunnel regulations must be observed when driving through tunnels.
16. Swap bodies/trailers which are loaded with ADR goods and which are not transported in bimodal traffic but must for other reasons be parked separately from the truck

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(e.g. in truck-meets-truck traffic) may either only be parked on enclosed company premises where information about the cargo is available, or the swap bodies/trailers must be marked with placards in accordance with the regulations for transport in bimodal traffic.

17. You undertake to safeguard safety in the supply chain in accordance with AEO requirements

17.1 either as a certified "AEO" (Authorised Economic Operator), or

17.2 at the very least, by signing the "Safety Statement for Authorised Economic Operators (AEOs)" issued to us

Delivery service

1. Transfer of the goods at the agreed time.
2. Observing the specified departure times.
3. Observing the promised running times and defined delivery dates.
4. Observing the customer's/recipient's instructions and regulations during delivery.
5. Determining the particular status/location of a shipment in a reasonable time.
6. Immediate notification of the customer if there is a delay on the transport route and notification of the reason for this delay and/or a new delivery date.
7. Immediate notification of the customer of complaints with regard to the quality and quantity of the goods, in particular if the recipient adds written remarks to the delivery document.

Transport documents / accompanying documents

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1. The transport documents drawn up by the contractor must be issued properly and transported together with the other accompanying documents

2. When a contract of carriage is finalised, the contractor must enter the customer as the "sender" in the waybill.

3. The customs formalities prescribed for cross-border traffic must be completed on schedule by the contractor. The enclosed customs documents must be handed to the recipient or the specified customs agent. This handover must be confirmed in writing. Such confirmations of receipt must be kept by the contractor for two years and made available to the customer without delay when requested.

4. Transport documents/accompanying documents or their content may not be made accessible to or handed over to third parties – except in the case of official inspections.

5. The original delivery confirmations must be made available to us without delay – at the latest when the invoice is submitted.

6. Transport documents that do not concern the current transport must be clearly recognisable as such.

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Information

1. When mobile box systems are used, it must be ensured that the information transferred is regularly called.

2. The contractor must ensure that information which would usually be regarded as the customer's business secrets is handled strictly confidentially, is not handed on to third parties and is not used for the contractor's own commercial purposes. This shall also include knowledge of facts that enable logistics prices/tariffs to be ascertained. Furthermore, absolute confidentiality must be maintained vis-à-vis third parties with regard to the agreed logistic conditions.

Accidents / Damage / Loss

1. Accidents must be reported immediately to the office specified in the accident procedures sheet or, in the case of non-ADR goods, to the office specified by the customer, quoting the data listed below.
 - 1.1. Name and company of the person reporting
 - 1.2. Licence-plate number, type of vehicle, carrier, haulage company
 - 1.3. Place, date, time and description of the accident/loss case
 - 1.4. Number of people injured/killed, scope of product discharge, police/fire brigade or any other officials on site

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- 1.5. Shipment data
 - 1.6. Measures taken or initiated by the driver
 - 1.7. Details for calling back for further information (name, address, telephone, fax, etc.)
 - 1.8. If applicable, claims agent called (complete address)
2. The contractor must draw up an informal record of every loss/accident which must be sent to the customer immediately without being requested.
 3. Visible damage and loss of goods must be reported to the customer immediately regardless of the cause and who bears responsibility. Other statutory duties to provide information shall remain unaffected by this.
 4. In all cases when there could be any danger to people and/or repercussions on the environment the police and/or fire brigade must always be informed immediately.
 5. The contractor must ensure that if a serious incident (for the criteria see 1.8.5.3. ADR) occurs on the territory of a country that has signed the ADR agreement a report in accordance with 1.8.5.4. ADR shall be submitted to the authority responsible, and that the customer shall receive a copy of this report without needing to request one.

Parking vehicles

1. At weekends loaded vehicles may only be parked in an enclosed area. Before starting the journey, perform a full check of the integrity of the HGV/loading unit.
2. Vehicles with ADR goods and safety-related and customs-related goods may only be parked on authorised overnight parking spaces, and the driver must remain with the vehicle. The driver may only leave the vehicle to deal with urgent personal needs. Upon recommencing the journey, a full check of the integrity of the HGV/loading unit must be performed.
3. In the event of the onset of bad weather or fog, drivers who are transporting ADR goods must immediately obey the instructions issued in the radio traffic news or by the police and head for an authorised parking area.

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4. Parking/staying overnight in non-EU countries or in countries expressly named when a contract is placed: only on secure and/or guarded parking areas.

Liability and insurance

1. Irrespective of the loss location, the provisions of the 4th paragraph of the HGB (German Commercial Code) shall apply as the basis for liability for transportation in national traffic from the point at which the goods are handed over to delivery at the end recipient's site. Deviations from these regulations must be specified in individual agreements.
2. Irrespective of the loss location, the CMR shall apply as the basis for liability for transportation in international traffic from the point at which the goods are handed over to delivery at the end recipient's site.
3. The contractor shall undertake to:
 - 3.1. take out and maintain an insurance covering their liability according to HGB and CMR,
 - 3.2. take out and maintain a motor third-party insurance of €50 million, including an amount for coverage of personal injury of at least €7.5 million or, if appropriate, coverage amounts which are customary in the country, and
 - 3.3. take out and maintain a commercial third-party liability insurance with a coverage amount of at least €2.5 million.
 - 3.4. If the contractor employs non-German subcontractors, they shall undertake to take out a third-party liability insurance for the vehicles used with the highest possible coverage amount in the country, and also to insure against liability according to the CMR.
4. The contractor shall confirm insurance coverage in accordance with the provisions above by acknowledging this Requirements Profile/Transport Description. Furthermore, when requested by the customer the contractor shall, if required, prove this by presenting written confirmation from their insurance company.

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