

April 2024

Instructions

**Shipping With KULR Technology's
DOT Special Permits**

+1 (408) 675-7002



SafeCASE@kulrtechnology.com



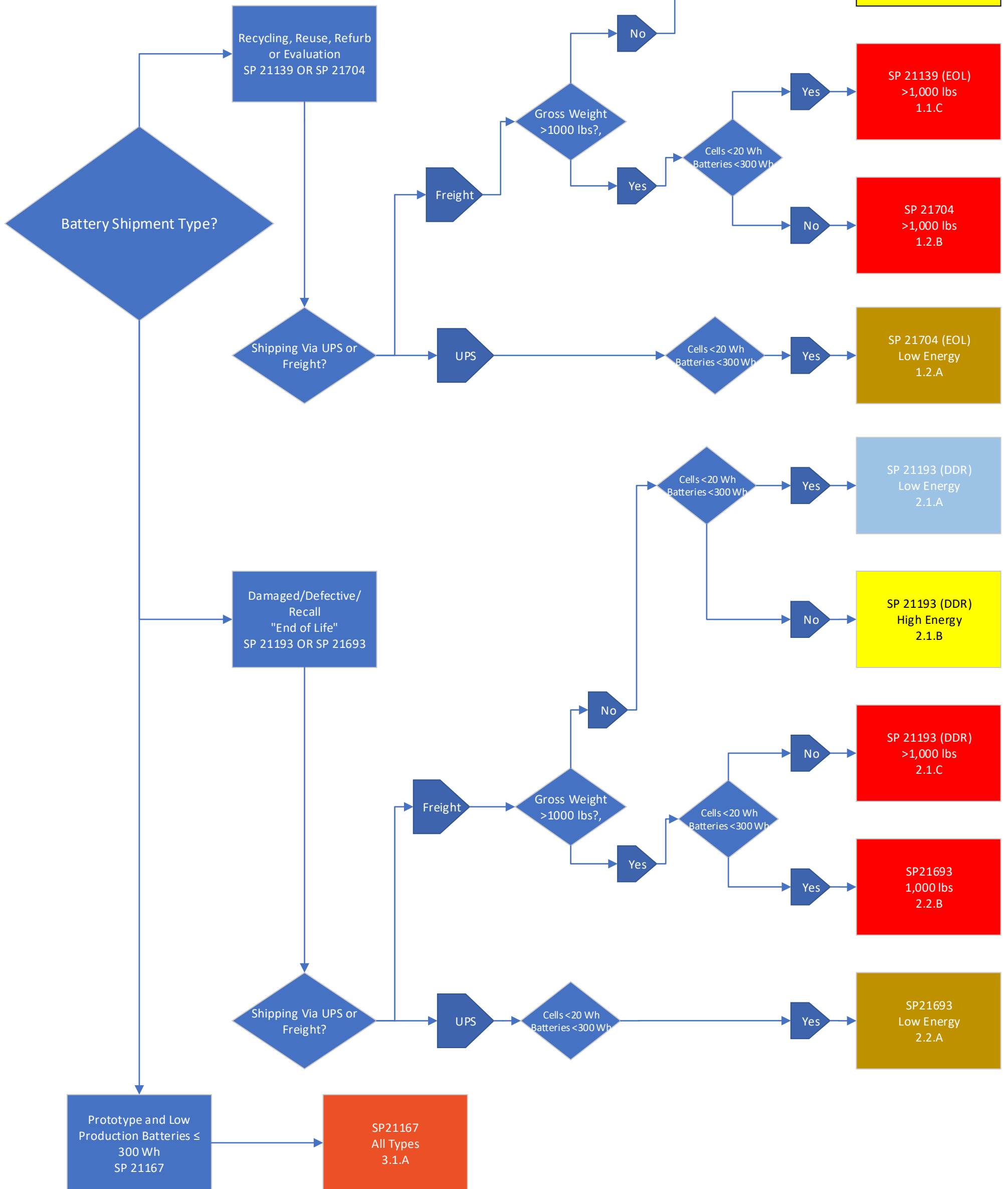
4863 Shawline Street Suite B
San Diego, CA 92111



General Rules for all shipments:
 -<30% SOC for cells/batteries
 -Batteries (UN3480) must be protected against short circuits/reverse flow of current
 -Equipment (UN3481) must be protect from activation
 -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 I - Minminal Reg, UPS Accepted
- Tier I - Minminal Reg, Freight Carrier Discretion
- Tier II- Medium Reg, Shipping and Training Records needed, Freight Carrier Description
- Tier III - 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:

- All battery shipments must be below 30% SOC
- 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 I Shipping, Handling & Closure	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines
Shipping Records	Tier I Shipping Records not required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier I Bill of Lading or Packing List	When required (Tier II 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 I Any Fitted Cardboard Box UNLESS <i>Shipping a single cell/battery/piece of equipment >30 kg, then</i> Tier II 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 I "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 I 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.	

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



1.1.B Recycling/End of Life

Special Permit 21139 (High Energy)

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 II Online Training and Quiz Handling & Closure	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines Tier II and Tier III shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier II Shipping Records required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier II Shipper's Declaration	When required (Tier II 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 II 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 I "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 II 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.	

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



1.1.C Recycling/End of Life

Special Permit 21139 (High Energy >1000 lb)

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 III Fully Regulated Hazmat Training	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier II and Tier III shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier II Shipping Records required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier II Shipper's Declaration	When required (Tier II 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 II 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 I "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 II 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.	

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



September 30, 2022

1200 New Jersey Avenue, SE
Washington, DC 20590

DOT-SP 21139
(THIRD REVISION)

EXPIRATION DATE: 2026-08-31

(FOR RENEWAL, SEE 49 CFR 107.109)

1. **GRANTEE:** KULR Technology Corporation
San Diego, CA
2. **PURPOSE AND LIMITATIONS:**
 - a. This special permit authorizes the manufacture, mark, sale, and use of non-DOT specification packagings for the transportation in commerce of lithium ion cells and batteries and lithium metal cells and batteries and those contained in or packed with equipment for recycling, reuse, refurbishment, repurposing or evaluation. This special permit provides no relief from the Hazardous Materials Regulations (HMR) other than as specifically stated herein. The most recent revision supersedes all previous revisions.
 - b. The safety analyses performed in development of this special permit only considered the hazards and risks associated with transportation in commerce. The safety analyses did not consider the hazards and risks associated with consumer use, use as a component of a transport vehicle or other device, or other uses not associated with transportation in commerce.
 - c. In accordance with 49 CFR 107.107(a), party status may not be granted to a manufacturing special permit. These packagings may be used in accordance with 49 CFR 173.22a.
3. **REGULATORY SYSTEM AFFECTED:** 49 CFR Parts 106, 107 and 171-180.
4. **REGULATIONS FROM WHICH EXEMPTED:** 49 CFR Subparts C and H of Part 172 in that shipping papers and training are not required for lithium-ion batteries with a Watt-hour (Wh) rating or lithium metal batteries with a lithium content (grams) not greater than that specified herein and § 173.185(b) in that alternative packaging is authorized, as specified herein.

Continuation of DOT-SP 21139 (3rd Rev.)

Page 3
September 30, 2022

- b. **OPERATIONAL CONTROLS:**
 - (1) The packaging under this special permit is not authorized for lithium cells and batteries, and those contained in or packed with equipment, identified as damaged, defective, or recalled. This packaging may only be used for the transportation of cells or batteries and those contained in or packed with equipment for recycling, reuse, refurbishment, repurposing or evaluation purposes.
 - (2) Packages must be stored away from heat.
 - (3) Lithium cells and batteries and those contained in or packed with equipment must be secured and protected against short circuiting. Suitable methods of protecting the cells or batteries against short circuits include, but are not limited to, placing the batteries in individual plastic bags; or taping and covering the exposed terminals. The means of protection used to prevent short circuits must remain in place while the packages are in transportation.
 - (4) Equipment containing lithium cells or batteries must be protected from inadvertent activation.
 - (5) Detailed closure, packing, and shipping instructions must be provided to individuals preparing shipments under the terms of this special permit.
 - (6) A bill of lading used in association with a package offered for transportation or transported in accordance with this special permit must include:
 - (i) Lithium batteries intended for recycling in accordance with DOT-SP 21139; and
 - (ii) Forbidden for Transport by Aircraft and Vessel.
 - (7) The grantee must make available upon request a list of names and addresses of each person who has ordered the packaging authorized by this special permit and used under this special permit. The grantee must be notified when the packaging has reached its destination.
- c. **MARKING AND LABELING:** Each packaging manufactured under terms of this special permit must be durably and legibly marked and labeled and displayed on a background of contrasting color with the following:
 - (1) All required markings and labels as required by the HMR.
 - (2) "DOT-SP 21139".

Tracking Number: 2022085555

Continuation of DOT-SP 21139 (3rd Rev.)

Page 2
September 30, 2022

5. **BASIS:** This special permit is based on the application of KULR Technology Corporation dated August 31, 2022, submitted in accordance with § 107.109.
6. **HAZARDOUS MATERIALS (49 CFR 172.101):**

Hazardous Material Description			
Proper Shipping Name	Hazard Class/Division	Identification Number	Packing Group
Lithium ion batteries including lithium ion polymer batteries	9	UN3480	N/A
Lithium ion batteries contained in equipment including lithium ion polymer batteries	9	UN3481	N/A
Lithium ion batteries packed with equipment including lithium ion polymer batteries	9	UN3481	N/A
Lithium metal batteries including lithium alloy batteries	9	UN3090	N/A

7. **SAFETY CONTROL MEASURES:**
 - a. **PACKAGING:**
 - (1) **INNER PACKAGING:** Cells or batteries or pieces of equipment containing these cells or batteries must be packaged in a specially designed inner bag as described in the application on file with the Office of Hazardous Materials Safety that consists of a synthetic composite temperature resistant bag lined with the fiber core material containing a cooling liquid.
 - (2) **OUTER PACKAGING:** Outer packaging must be a strong fiberboard box.
 - (3) Each package may not exceed 30 kg gross weight.
 - (4) The aggregate energy content of each inner packaging with a fiber core lining containing a cooling liquid may not exceed 2.5 kWh or the equivalent lithium content (200 grams).
 - (5) The packaging may be reused provided it meets the requirements under this special permit and general packaging requirements of the HMR.

Tracking Number: 2022085555

Continuation of DOT-SP 21139 (3rd Rev.)

Page 4
September 30, 2022

- (3) "FOR GROUND TRANSPORT ONLY – FORBIDDEN FOR TRANSPORTATION BY AIRCRAFT AND VESSEL" at least 6 mm (0.25 inch) in height.
8. **SPECIAL PROVISIONS:**
 - a. In accordance with the provisions of Paragraph (b) of § 173.22a, persons may use the packaging authorized by this special permit for the transportation of the hazardous materials specified in paragraph 6, only in conformance with the terms of this special permit.
 - b. A person who is not a holder of this special permit, but receives a package covered by this special permit, may offer or reoffer it for transportation provided no modification or change is made to the package and it is offered or reoffered for transportation in conformance with this special permit and the HMR.
 - c. A current copy of this special permit must be maintained at each facility where the package is offered or reoffered for transportation.
 - d. Each packaging manufactured under the authority of this special permit must be either (1) marked with the name of the manufacturer and location (city and state) of the facility at which it is manufactured or (2) marked with a registration symbol designated by the Office of Hazardous Materials Safety for a specific manufacturing facility.
 - e. A current copy of this special permit must be maintained at each facility where the packaging is manufactured under this special permit. It must be made available to a DOT representative upon request.
 - f. When utilized as specified in this special permit, the completed package is subject to 49 CFR Subparts D, E and F of Part 172 (i.e., marking, labeling, placarding, and emergency response information), except as specified herein.
 - g. Detailed closure, packing, and shipping instructions must be provided to individuals preparing shipments under the terms of the special permit. Persons offering packages for transportation must comply with the closure, packing, and shipping instructions accompanying the packaging.
 - h. Transportation by ferry or cargo vessel is not authorized under the terms of this special permit.
9. **MODES OF TRANSPORTATION AUTHORIZED:** Motor vehicle and rail freight.
10. **MODAL REQUIREMENTS:** A current copy of this special permit must be carried aboard each motor vehicle used to transport packages covered by this special permit.

Tracking Number: 2022085555

11. **COMPLIANCE:** Failure by a person to comply with any of the following may result in suspension or revocation of this special permit and penalties prescribed by the Federal hazardous materials transportation law, 49 U.S.C. 5101 et seq.:
- o All terms and conditions prescribed in this special permit and the Hazardous Materials Regulations, 49 CFR Parts 171-180.
 - o Persons operating under the terms of this special permit must comply with the security plan requirement in Subpart I of Part 172 of the HMR, when applicable.
 - o Registration required by § 107.601 et seq., when applicable.

Each "Hazmat employee", as defined in § 171.8, who performs a function subject to this special permit must receive training on this special permit.

No person may use or apply this special permit, including display of its number, when this special permit has expired or is otherwise no longer in effect.

Under Title VII of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) — "The Hazardous Materials Safety and Security Reauthorization Act of 2005" (Pub. L. 109-59), 119 Stat. 1144 (August 10, 2005), amended the Federal hazardous materials transportation law by changing the term "exemption" to "special permit" and authorizes a special permit to be granted up to two years for new special permits and up to four years for renewals.

12. **REPORTING REQUIREMENTS:** Shipments or operations conducted under this special permit are subject to the Hazardous Materials Incident Reporting requirements specified in 49 CFR §§ 171.15 - Immediate notice of certain hazardous materials incidents, and 171.16 - Detailed hazardous materials incident reports. In addition, the grantee(s) of this special permit must notify the Associate Administrator for Hazardous Materials Safety, in writing, of any incident involving a package, shipment or operation conducted under terms of this special permit.

Issued in Washington, D.C.:



for William Schoonover
Associate Administrator for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous Materials Safety, Pipeline and Hazardous Materials Safety Administration, U.S. Department of Transportation, East Building PHH-13, 1200 New Jersey Avenue, Southeast, Washington, D.C. 20590.

Tracking Number: 2022085555

Copies of this special permit may be obtained by accessing the Hazardous Materials Safety Homepage at <https://www.phmsa.dot.gov/approvals-and-permits/hazmat/special-permits-search>. Photo reproductions and legible reductions of this special permit are permitted. Any alteration of this special permit is prohibited.

PO: SH/JN

Tracking Number: 2022085555



1.2.A Recycling/End of Life

Special Permit 21704 (Low Energy)

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 UN Rated 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

1.2.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 I Shipping, Handling & Closure	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines
Shipping Records	Tier I Shipping Records not required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier I Bill of Lading or Packing List	When required (Tier II 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 I Any 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 I "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 I 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.	

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



1.2.B Recycling/End of Life

Special Permit 21704 (High Energy > 1000 lb)

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 UN Rated 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

1.2.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 <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 70 lbs
Training and Record Requirements		
Item	Terms	Notes
Type of Training Required	Tier III Fully Regulated Hazmat Training	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier II and Tier III shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier II Shipping Records required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier II Shipper's Declaration	When required (Tier II 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 II 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 I "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 I Low Energy Sticker (Red Outline)	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.	

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



DOT-SP 21704

EXPIRATION DATE: 2026-01-31

(FOR RENEWAL, SEE 49 CFR 107.109)

1. **GRANTEE:** KULR Technology Corporation
San Diego, CA
2. **PURPOSE AND LIMITATIONS:**
 - a. This special permit authorizes the manufacture, mark, sale, and use of non-DOT specification packagings for the transportation in commerce of lithium ion cells and batteries and lithium metal cells and batteries and those contained in or packed with equipment for recycling, reuse, refurbishment, repurposing or evaluation. This special permit provides no relief from the Hazardous Materials Regulations (HMR) other than as specifically stated herein. The most recent revision supersedes all previous revisions.
 - b. The safety analyses performed in development of this special permit only considered the hazards and risks associated with transportation in commerce. The safety analyses did not consider the hazards and risks associated with consumer use, use as a component of a transport vehicle or other device, or other uses not associated with transportation in commerce.
 - c. In accordance with 49 CFR 107.107(a), party status may not be granted to a manufacturing special permit. These packagings may be used in accordance with 49 CFR 173.22a.
3. **REGULATORY SYSTEM AFFECTED:** 49 CFR Parts 106, 107 and 171-180.
4. **REGULATIONS FROM WHICH EXEMPTED:** Except when a shipment of consolidated packages has an aggregate gross weight exceeding 1000 pounds, 49 CFR Subparts C through H of Part 172 in that shipping papers, marking, labeling, placarding, and emergency response information are not required, and alternative training is authorized; and § 173.185(b) in that alternative packaging is authorized, as specified herein.

Tracking Number: 2024014595

Continuation of DOT-SP 21704

resistant to high temperatures that is lined with a fiber core material infused with an extinguishing liquid.

- (2) **OUTER PACKAGING:** Inner packagings must be further packed in a fiberboard box designed and constructed in accordance with 49 CFR 178.516.
- (3) Each package may not exceed 70 pounds gross weight.
- (4) Packagings may be reused provided they continue to meet the requirements of this special permit and general packaging requirements of the HMR.
- c. **MARKING AND LABELING:** Each packaging manufactured under terms of this special permit must be durably and legibly marked and labeled and displayed on a background of contrasting color with the following:
 - (1) "DOT-SP 21704".
 - (2) The words: "Recycled lithium batteries" in letters at least 12 mm (0.5 inch) in height.
 - (3) "FOR GROUND TRANSPORT ONLY – FORBIDDEN FOR TRANSPORT BY AIRCRAFT AND VESSEL" at least 6 mm (0.25 inch) in height.
 - (4) The lithium battery handling marking conforming to 49 CFR 173.185(c).
- d. **OPERATIONAL CONTROLS:**
 - (1) The packaging under this special permit is not authorized for lithium cells and batteries, and those contained in or packed with equipment, identified as damaged, defective, or recalled. This packaging may only be used for the transportation of cells or batteries and those contained in or packed with equipment for recycling, reuse, refurbishment, repurposing or evaluation purposes.
 - (2) Packages must be stored away from sources of ignition or excessive sources of heat or flames that could result in the content of the content of the package experiencing a thermal event.
 - (3) KULR Technology Corporation must provide detailed closure, packing, and shipping instructions to individuals (consumers, retail employees, and KULR Technology Corporation hazardous materials employees) preparing shipments under the terms of the special permit.

Continuation of DOT-SP 21704

5. **BASIS:** This special permit is based on the application of KULR Technology Corporation dated December 21, 2023, submitted in accordance with § 107.105 and the public proceeding thereon.
6. **HAZARDOUS MATERIALS (49 CFR 172.101):**

Hazardous Material Description			
Proper Shipping Name	Hazard Class/Division	Identification Number	Packing Group
Lithium ion batteries	9	UN3480	N/A
Lithium ion batteries contained in equipment	9	UN3481	N/A
Lithium ion batteries packed with equipment	9	UN3481	N/A
Lithium metal batteries	9	UN3090	N/A
Lithium metal batteries contained in equipment	9	UN3091	N/A
Lithium metal batteries packed with equipment	9	UN3091	N/A

7. **SAFETY CONTROL MEASURES:**
 - a. **SAFETY CONTROLS:**
 - (1) Lithium ion and metal cells and batteries must be secured and protected against short circuits while the packages are in transportation.
 - (2) Cells or batteries contained in or packed with equipment must be protected against short circuits (unless the equipment affords that protection) and unintentional activation.
 - (3) Cells and batteries are limited to those with a Watt-hour rating not exceeding 300 Wh or lithium content not exceeding 25 grams.
 - b. **PACKAGING:**
 - (1) **INNER PACKAGING:** Cells, batteries, or equipment containing them must be enclosed in a specially designed inner container (SafeCASE or SafeSLEEVE incorporated with TRS) that consists of a synthetic composite

Continuation of DOT-SP 21704

- (4) The grantee must make available upon request a list of names and addresses of each person who has ordered the packaging authorized by this special permit and used under this special permit. The grantee must be notified when the packaging has reached its destination.
- (5) Shipments containing a single packaging, pallet or aggregate quantity of packages with a gross weight exceeding 1,000 pounds are not excepted from the requirements of Subparts C and H of Part 172.
8. **SPECIAL PROVISIONS:**
 - a. In accordance with the provisions of Paragraph (b) of § 173.22a, persons may use the packaging authorized by this special permit for the transportation of the hazardous materials specified in paragraph 6, only in conformance with the terms of this special permit.
 - b. A current copy of this special permit must be made available to a person transporting cells and batteries when the package is offered or reoffered for transportation.
 - c. Each packaging manufactured under the authority of this special permit must be either (1) marked with the name of the manufacturer and location (city and state) of the facility at which it is manufactured or (2) marked with a registration symbol designated by the Office of Hazardous Materials Safety for a specific manufacturing facility.
 - d. A current copy of this special permit must be maintained at each facility where the packaging is manufactured under this special permit. It must be made available to a DOT representative upon request.
9. **MODES OF TRANSPORTATION AUTHORIZED:** Motor vehicle and rail freight.
10. **MODAL REQUIREMENTS:** None as a requirement of this special permit.
11. **COMPLIANCE:** Failure by a person to comply with any of the following may result in suspension or revocation of this special permit and penalties prescribed by the Federal hazardous materials transportation law, 49 U.S.C. 5101 et seq:
 - o All terms and conditions prescribed in this special permit and the Hazardous Materials Regulations, 49 CFR Parts 171-180.
 - o Persons operating under the terms of this special permit must comply with the security plan requirement in Subpart I of Part 172 of the HMR, when applicable.

- o Registration required by § 107.601 et seq., when applicable.

Each "Hazmat employee" as defined in §171.8, who performs a function subject to this special permit must receive adequate instruction on the requirements and conditions of this special permit. Adequate instruction should include providing closure instructions and providing access to online training and testing that can be completed prior to offering packages for transport.

No person may use or apply this special permit, including display of its number, when this special permit has expired or is otherwise no longer in effect.

Under Title VII of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) — "The Hazardous Materials Safety and Security Reauthorization Act of 2005" (Pub. L. 109-59), 119 Stat. 1144 (August 10, 2005), amended the Federal hazardous materials transportation law by changing the term "exemption" to "special permit" and authorizes a special permit to be granted up to two years for new special permits and up to four years for renewals.

12. **REPORTING REQUIREMENTS:** Shipments or operations conducted under this special permit are subject to the Hazardous Materials Incident Reporting requirements specified in 49 CFR §§ 171.15 - Immediate notice of certain hazardous materials incidents, and 171.16 - Detailed hazardous materials incident reports. In addition, the grantee(s) of this special permit must notify the Associate Administrator for Hazardous Materials Safety, in writing, of any incident involving a package, shipment or operation conducted under terms of this special permit.

Issued in Washington, D.C.:



for William Schoonover
Associate Administrator for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous Materials Safety, Pipeline and Hazardous Materials Safety Administration, U.S. Department of Transportation, East Building PHH-13, 1200 New Jersey Avenue, Southeast, Washington, D.C. 20590.

Copies of this special permit may be obtained by accessing the Hazardous Materials Safety Homepage at <https://www.phmsa.dot.gov/approvals-and-permits/hazmat/special-permits-search>. Photo reproductions and legible reductions of this special permit are permitted. Any alteration of this special permit is prohibited.

PO: ae



2.1.A Damaged, Defective, or Recalled

Special Permit 21193 (Low Energy)

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 UN Rated 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 I Shipping, Handling & Closure	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines
Shipping Records	Tier I Shipping Records not required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier I Bill of Lading or Packing List	When required (Tier II 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 II 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 I "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 I 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.	

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.B Damaged, Defective, or Recalled

Special Permit 21193 (High Energy)

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 Un Rated 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 II Online Training and Quiz Handling & Closure	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines Tier II and Tier III shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier II Shipping Records required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier II Shipper's Declaration	When required (Tier II 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 II 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 I "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 II 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.	

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:

- All battery shipments must be below 30% SOC
- 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 UN Rated 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 III Fully Regulated Hazmat Training	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier II and Tier III shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier II Shipping Records required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier II Shipper's Declaration	When required (Tier II 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 II 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 I "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 II 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.	

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



DOT-SP 21193
(FOURTH REVISION)

EXPIRATION DATE: 2027-05-31

(FOR RENEWAL, SEE 49 CFR 107.109)

1. **GRANTEE:** KULR Technology Corporation
San Diego, CA
2. **PURPOSE AND LIMITATIONS:**
 - a. This special permit authorizes the manufacture, mark, sale, and use of specially designed thermal runaway shield (TRS) packagings for the transportation in commerce of damaged, defective, or recalled lithium ion cells and batteries and lithium metal cells and batteries and those contained in or packed with equipment. This special permit provides no relief from the Hazardous Materials Regulations (HMR) other than as specifically stated herein. The most recent revision supersedes all previous revisions.
 - b. The safety analyses performed in development of this special permit only considered the hazards and risks associated with transportation in commerce. The safety analyses did not consider the hazards and risks associated with consumer use, use as a component of a transport vehicle or other device, or other uses not associated with transportation in commerce.
 - c. In accordance with 49 CFR 107.107(a), party status may not be granted to a manufacturing special permit. These packagings may be used in accordance with 49 CFR 173.22a.
3. **REGULATORY SYSTEM AFFECTED:** 49 CFR Parts 106, 107 and 171-180.

Tracking Number: 2023054452

have originally met the requirements for testing in accordance with the edition of the UN Manual of Tests and Criteria authorized at the time of testing, prior to becoming DDRs.

- (2) Packages must be stored away from heat.
- (3) Lithium ion and metal cells and batteries must be secured and protected against short circuits while the packages are in transportation.
- (4) Cells or batteries contained in or packed with equipment must be protected against short circuits (unless the equipment affords that protection) and unintentional activation.
- b. **PACKAGING:** Prescribed packagings are as follows:
 - (1) **INNER PACKAGING:** Cells or batteries or pieces of equipment containing these cells or batteries must be packaged in a specially designed inner bag (TRS bag) as described in the application on file that consists of a synthetic composite temperature resistant bag that is lined with the fiber core material containing a cooling liquid.
 - (2) **OUTER PACKAGING:** Outer packaging is a UN specification packaging meeting the Packing Group I requirements.
 - (3) The aggregate energy content of each inner packaging with a fiber core lining containing a cooling liquid may not exceed 2.5 kWh or the equivalent lithium content (200 grams).
 - (4) Packages may not be transported aboard aircraft, ferry vessel, or cargo vessel under the terms of this special permit.
- c. **MARKING AND LABELING:** Each package covered under the terms of this special permit must be durably and legibly marked/labeled and displayed on a background of contrasting color with the following:
 - (1) "DOT-SP 21193".
 - (2) The words: "Damaged/defective lithium ion battery" and/or "Damaged/defective lithium metal battery", as appropriate, in letters at least 12 mm (0.5 inch) in height.
 - (3) The words: "FOR GROUND TRANSPORT ONLY – FORBIDDEN FOR TRANSPORTATION BY AIRCRAFT AND VESSEL" at least 6 mm (0.25 inch) in height.

4. **REGULATIONS FROM WHICH EXEMPTED:** Except when a shipment of consolidated packages has an aggregate gross weight exceeding 1000 pounds, 49 CFR Subparts C through H of Part 172 in that shipping papers, marking, labeling, placarding, emergency response information, and training are not required for batteries and cells not exceeding the energy content limits of § 173.185(c); and § 173.185(f) in that more than one lithium cell or battery per package, alternative packaging, and alternative marking are authorized, as specified herein.
5. **BASIS:** This special permit is based on the application of KULR Technology Corporation dated May 10, 2023, submitted in accordance with § 107.109.
6. **HAZARDOUS MATERIALS (49 CFR 172.101):**

Hazardous Material Description			
Proper Shipping Name	Hazard Class/ Division	Identification Number	Packing Group
Lithium ion batteries	9	UN3480	N/A
Lithium ion batteries contained in equipment	9	UN3481	N/A
Lithium ion batteries packed with equipment	9	UN3481	N/A
Lithium metal batteries	9	UN3090	N/A
Lithium metal batteries contained in equipment	9	UN3091	N/A
Lithium metal batteries packed with equipment	9	UN3091	N/A

*Only damaged, defective, or recalled lithium ion cells or batteries including those suspected of being damaged or defective and those packed with or contained in equipment including instances where the cells or batteries cannot be appropriately assessed prior to transport and the packaging is being used as an added safety precaution may be transported under the terms of this special permit. All cells and batteries must have met all requirements of § 173.185(a) prior to being damaged or defective.

7. **SAFETY CONTROL MEASURES:**
 - a. **SAFETY CONTROLS:**
 - (1) Damaged, defective, or recalled lithium cells and batteries, and lithium cells or batteries (DDR's), and those contained in or packed with equipment must

- (4) For cells and batteries with an energy content not exceeding the limits specified in 49 CFR 173.185(c), the lithium battery handling marking conforming to 49 CFR 173.185(c).
- (5) For cells and batteries with an energy content exceeding the limits in 49 CFR 173.185(c), the LITHIUM BATTERY label specified in and conforming to 49 CFR 172.447 and compliance with Subparts D and E of Part 172 is required.
- (6) Emergency response information including the emergency response telephone number in case of damage to the packaging or contents.
- d. **OPERATIONAL CONTROLS:**
 - (1) Cells or batteries, including those contained in or packed with equipment, each with an energy content not exceeding the limits in 49 CFR 173.185(c), are excepted from 49 CFR Part 172 Subparts C through H, except as specified herein. Each package must not exceed 30 kg (66 pounds) gross weight.
 - (2) Cells, batteries (including those packed with or contained in equipment), or a package that does not conform to the requirements in paragraph 7.d.(1) are subject to 49 CFR Subparts C through H of Part 172.
 - (3) KULR Technology Corporation must provide detailed closure, packing, and shipping instructions to individuals (consumers, retail employees, and KULR Technology Corporation hazardous materials employees) preparing shipments under the terms of the special permit.
 - (4) Persons offering packages for transportation must comply with the closure instructions accompanying the packaging.
 - (5) In lieu of shipping papers for batteries, cells, and packages conforming to paragraph 7.d.(1), a bill of lading is authorized including the description "Contains damaged, defective, recalled lithium cells and batteries in accordance with DOT-SP 21193".
 - (6) Shipments containing a single packaging, pallet or aggregate quantity of packages with a gross weight exceeding 1,000 pounds are not excepted from the requirements of Subparts C through H of Part 172.

8. **SPECIAL PROVISIONS:**

a. In accordance with the provisions of Paragraph (b) of § 173.22a, persons may use the packaging authorized by this special permit for the transportation of the hazardous materials specified in paragraph 6, only in conformance with the terms of this special permit.

b. A person who is not a holder of this special permit, but receives a package covered by this special permit, may reoffer it for transportation provided no modification or change is made to the package and it is offered for transportation in conformance with this special permit and the HMR.

c. A current copy of this special permit must be maintained at each facility where the package is offered or reoffered for transportation.

d. Each packaging manufactured under the authority of this special permit must be either (1) marked with the name of the manufacturer and location (city and state) of the facility at which it is manufactured or (2) marked with a registration symbol designated by the Office of Hazardous Materials Safety for a specific manufacturing facility.

e. A current copy of this special permit must be maintained at each facility where the packaging is manufactured under this special permit. It must be made available to a DOT representative upon request.

9. **MODES OF TRANSPORTATION AUTHORIZED:** Motor vehicle and rail freight.10. **MODAL REQUIREMENTS:** A current copy of this special permit must be carried aboard each motor vehicle used to transport packages covered by this special permit.11. **COMPLIANCE:** Failure by a person to comply with any of the following may result in suspension or revocation of this special permit and penalties prescribed by the Federal hazardous materials transportation law, 49 U.S.C. 5101 et seq:

- o All terms and conditions prescribed in this special permit and the Hazardous Materials Regulations, 49 CFR Parts 171-180.
- o Persons operating under the terms of this special permit must comply with the security plan requirement in Subpart I of Part 172 of the HMR, when applicable.
- o Registration required by § 107.601 et seq, when applicable.

Each "Hazmat employee", as defined in § 171.8, who performs a function subject to this special permit must receive training on the requirements and conditions of this special

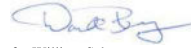
permit in addition to the training required by §§ 172.700 through 172.704.

No person may use or apply this special permit, including display of its number, when this special permit has expired or is otherwise no longer in effect.

Under Title VII of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) — "The Hazardous Materials Safety and Security Reauthorization Act of 2005" (Pub. L. 109-59), 119 Stat. 1144 (August 10, 2005), amended the Federal hazardous materials transportation law by changing the term "exemption" to "special permit" and authorizes a special permit to be granted up to two years for new special permits and up to four years for renewals.

12. **REPORTING REQUIREMENTS:** Shipments or operations conducted under this special permit are subject to the Hazardous Materials Incident Reporting requirements specified in 49 CFR §§ 171.15 - Immediate notice of certain hazardous materials incidents, and 171.16 - Detailed hazardous materials incident reports. In addition, the grantee(s) of this special permit must notify the Associate Administrator for Hazardous Materials Safety, in writing, of any incident involving a package, shipment or operation conducted under terms of this special permit.

Issued in Washington, D.C.:



for William Schoonover
Associate Administrator for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous Materials Safety, Pipeline and Hazardous Materials Safety Administration, U.S. Department of Transportation, East Building PHH-13, 1200 New Jersey Avenue, Southeast, Washington, D.C. 20590.

Copies of this special permit may be obtained by accessing the Hazardous Materials Safety Homepage at <https://www.phmsa.dot.gov/approvals-and-permits/hazmat/special-permits-search>. Photo reproductions and legible reductions of this special permit are permitted. Any alteration of this special permit is prohibited.

PO: Jephthah Nti



2.2.A Damaged, Defective, or Recalled

Special Permit 21693 (Low Energy)

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 UN Rated 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

2.2.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 I Shipping, Handling & Closure	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines
Shipping Records	Tier I Shipping Records not required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier I Bill of Lading or Packing List	When required (Tier II 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 I Any 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 I "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 I 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

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



2.2.B Damaged, Defective, or Recalled

Special Permit 21693 (High Energy > 1000 lb)

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 UN Rated 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

2.2.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 III Fully Regulated Hazmat Training	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier II and Tier III shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier II Shipping Records required	When required (Tier II or higher), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier II Shipper's Declaration	When required (Tier II 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 II 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 I "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 I 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.	

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



DOT-SP 21693

EXPIRATION DATE: 2026-01-31

(FOR RENEWAL, SEE 49 CFR 107.109)

1. **GRANTEE:** KULR Technology Corporation
San Diego, CA
2. **PURPOSE AND LIMITATIONS:**
 - a. This special permit authorizes the manufacture, mark, sale, and use of specially designed thermal runaway shield (TRS) packagings for the transportation in commerce of damaged, defective, or recalled lithium ion cells and batteries and lithium metal cells and batteries and those contained in or packed with equipment. This special permit provides no relief from the Hazardous Materials Regulations (HMR) other than as specifically stated herein. The most recent revision supersedes all previous revisions.
 - b. The safety analyses performed in development of this special permit only considered the hazards and risks associated with transportation in commerce. The safety analyses did not consider the hazards and risks associated with consumer use, use as a component of a transport vehicle or other device, or other uses not associated with transportation in commerce.
 - c. In accordance with 49 CFR 107.107(a), party status may not be granted to a manufacturing special permit. These packagings may be used in accordance with 49 CFR 173.22a.
3. **REGULATORY SYSTEM AFFECTED:** 49 CFR Parts 106, 107 and 171-180.
4. **REGULATIONS FROM WHICH EXEMPTED:** Except when a shipment of consolidated packages has an aggregate gross weight exceeding 1000 pounds, 49 CFR Subparts C through H of Part 172 in that shipping papers, marking, labeling, placarding, and emergency response information are not required, and alternative training is authorized; and § 173.185(f) in that more than one lithium cell or battery per package, alternative packaging, and alternative marking are authorized, as specified herein.

Tracking Number: 2023125222

Continuation of DOT-SP 21693

- (2) Packages must be stored away from sources of ignition or excessive sources of heat or flames that could result in the content of the content of the package experiencing a thermal event.
- (3) Lithium ion and metal cells and batteries must be secured and protected against short circuits while the packages are in transportation.
- (4) Cells or batteries contained in or packed with equipment must be protected against short circuits (unless the equipment affords that protection) and unintentional activation.
- (5) Cells and batteries are limited to those with a Watt-hour rating not exceeding 300 Wh or lithium content not exceeding 25 grams.
- b. **PACKAGING:** Prescribed packagings are as follows:
 - (1) **INNER PACKAGING:** Cells, batteries, or equipment containing them must be enclosed in a specially designed inner container (SafeCASE or SafeSLEEVE incorporated with TRS) that consists of a synthetic composite resistant to high temperatures that is lined with a fiber core material infused with an extinguishing liquid.
 - (2) **OUTER PACKAGING:** Inner packagings must be further packed in a fiberboard box designed and constructed in accordance with 49 CFR 178.516.
- c. **MARKING AND LABELING:** Each package covered under the terms of this special permit must be durably and legibly marked/labeled and displayed on a background of contrasting color with the following:
 - (1) "DOT-SP 21693".
 - (2) The words: "Damaged/defective lithium ion battery" and/or "Damaged/defective lithium metal battery", as appropriate, in letters at least 12 mm (0.5 inch) in height.
 - (3) The words: "FOR GROUND TRANSPORT ONLY – FORBIDDEN FOR TRANSPORTATION BY AIRCRAFT AND VESSEL" at least 6 mm (0.25 inch) in height.
 - (4) The lithium battery handling marking conforming to 49 CFR 173.185(c).
 - (5) Emergency response information including the emergency response telephone number in case of damage to the packaging or contents.

Continuation of DOT-SP 21693

5. **BASIS:** This special permit is based on the application of KULR Technology Corporation dated December 21, 2023, submitted in accordance with § 107.105 and the public proceeding thereon.
6. **HAZARDOUS MATERIALS (49 CFR 172.101):**

Hazardous Material Description			
Proper Shipping Name	Hazard Class/Division	Identification Number	Packing Group
Lithium ion batteries	9	UN3480	N/A
Lithium ion batteries contained in equipment	9	UN3481	N/A
Lithium ion batteries packed with equipment	9	UN3481	N/A
Lithium metal batteries	9	UN3090	N/A
Lithium metal batteries contained in equipment	9	UN3091	N/A
Lithium metal batteries packed with equipment	9	UN3091	N/A

*Only damaged, defective, or recalled lithium ion cells or batteries including those suspected of being damaged or defective and those packed with or contained in equipment including instances where the cells or batteries cannot be appropriately assessed prior to transport and the packaging is being used as an added safety precaution may be transported under the terms of this special permit. All cells and batteries must have met all requirements of § 173.185(a) prior to being damaged or defective.

7. **SAFETY CONTROL MEASURES:**
 - a. **SAFETY CONTROLS:**
 - (1) Damaged, defective, or recalled lithium cells and batteries, and lithium cells or batteries (DDRs), and those contained in or packed with equipment must have originally met the requirements for testing in accordance with the edition of the UN Manual of Tests and Criteria authorized at the time of testing, prior to becoming DD Rs.

Continuation of DOT-SP 21693

- d. **OPERATIONAL CONTROLS:**
 - (1) Each package must not exceed 70 pounds gross weight.
 - (2) KULR Technology Corporation must provide detailed closure, packing, and shipping instructions to individuals (consumers, retail employees, and KULR Technology Corporation hazardous materials employees) preparing shipments under the terms of the special permit.
 - (3) Persons offering packages for transportation must comply with the closure instructions accompanying the packaging.
 - (4) Shipments containing a single packaging, pallet or aggregate quantity of packages with a gross weight exceeding 1,000 pounds are not excepted from the requirements of Subparts C through H of Part 172.
8. **SPECIAL PROVISIONS:**
 - a. In accordance with the provisions of Paragraph (b) of § 173.22a, persons may use the packaging authorized by this special permit for the transportation of the hazardous materials specified in paragraph 6, only in conformance with the terms of this special permit.
 - b. A current copy of this special permit must be made available to a person transporting cells and batteries when the package is offered or reoffered for transportation.
 - c. Each packaging manufactured under the authority of this special permit must be either (1) marked with the name of the manufacturer and location (city and state) of the facility at which it is manufactured or (2) marked with a registration symbol designated by the Office of Hazardous Materials Safety for a specific manufacturing facility.
 - d. A current copy of this special permit must be maintained at each facility where the packaging is manufactured under this special permit. It must be made available to a DOT representative upon request.
9. **MODES OF TRANSPORTATION AUTHORIZED:** Motor vehicle and rail freight.
10. **MODAL REQUIREMENTS:** A current copy of this special permit must be carried aboard each motor vehicle used to transport packages covered by this special permit.

11. **COMPLIANCE:** Failure by a person to comply with any of the following may result in suspension or revocation of this special permit and penalties prescribed by the Federal hazardous materials transportation law, 49 U.S.C. 5101 et seq.
- o All terms and conditions prescribed in this special permit and the Hazardous Materials Regulations, 49 CFR Parts 171-180.
 - o Persons operating under the terms of this special permit must comply with the security plan requirement in Subpart I of Part 172 of the HMR, when applicable.
 - o Registration required by § 107.601 et seq., when applicable.

Each "Hazmat employee", as defined in § 171.8, who performs a function subject to this special permit must receive training on the requirements and conditions of this special permit in addition to the training required by §§ 172.700 through 172.704.

No person may use or apply this special permit, including display of its number, when this special permit has expired or is otherwise no longer in effect.

Under Title VII of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) — "The Hazardous Materials Safety and Security Reauthorization Act of 2005" (Pub. L. 109-59), 119 Stat. 1144 (August 10, 2005), amended the Federal hazardous materials transportation law by changing the term "exemption" to "special permit" and authorizes a special permit to be granted up to two years for new special permits and up to four years for renewals.

12. **REPORTING REQUIREMENTS:** Shipments or operations conducted under this special permit are subject to the Hazardous Materials Incident Reporting requirements specified in 49 CFR §§ 171.15 - Immediate notice of certain hazardous materials incidents, and 171.16 - Detailed hazardous materials incident reports. In addition, the grantee(s) of this special permit must notify the Associate Administrator for Hazardous Materials Safety, in writing, of any incident involving a package, shipment or operation conducted under terms of this special permit.

Issued in Washington, D.C.:



for William Schoonover
Associate Administrator for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous Materials Safety, Pipeline and Hazardous Materials Safety Administration, U.S. Department of Transportation, East Building PHH-13, 1200 New Jersey Avenue, Southeast, Washington, D.C. 20590.

Copies of this special permit may be obtained by accessing the Hazardous Materials Safety Homepage at <https://www.phmsa.dot.gov/approvals-and-permits/hazmat/special-permits-search>. Photo reproductions and legible reductions of this special permit are permitted. Any alteration of this special permit is prohibited.

PO: ae



3.1.A Prototypes

Special Permit 21167

GENERAL RULES FOR ALL SHIPMENTS:

- All battery shipments must be below 30% SOC
- 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 UN Rated 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 III Fully Regulated Hazmat Training	SafeX Shipping Guidelines SafeX Packaging and Use Guidelines Shipper must possess existing Hazmat Shipper's training and review the referenced trainings as supplements on closure and packaging usage. Tier II and Tier III shippers must have training records for all shippers and other hazmat employees going back at least 2 years.
Shipping Records	Tier II Shipping Records Required	When required (Tier II), records of shipment must be kept by shipper for at least 2 years
Shipping Doc type	Tier II Shipper's Declaration	When required (Tier II), 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 II 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 II Cargo Aircraft Only	Forbidden for transport by ferry or cargo vessel
Battery Sticker Type	Tier I Low Energy Sticker (Red Outline)/ Tier II 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	"FORBIDDEN FOR TRANSPORTATION BY VESSEL" at least 0.5" in height	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.

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



DOT-SP 21167
(THIRD REVISION)

EXPIRATION DATE: 2027-05-31

(FOR RENEWAL, SEE 49 CFR 107.109)

1. **GRANTEE:** KULR Technology Corporation
San Diego, CA
2. **PURPOSE AND LIMITATIONS:**
 - a. This special permit authorizes the manufacture, mark, sale, and use of alternative packaging for the transportation in commerce of prototype and low production lithium cells and batteries, and those contained in or packed with equipment. This special permit provides no relief from the Hazardous Materials Regulations (HMR) or the International Civil Aviation Organization's Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) other than as specifically stated herein. The most recent revision supersedes all previous revisions.
 - b. The safety analyses performed in development of this special permit only considered the hazards and risks associated with transportation in commerce. The safety analyses did not consider the hazards and risks associated with consumer use, use as a component of a transport vehicle or other device, or other uses not associated with transportation in commerce.
 - c. In accordance with 49 CFR 107.107(a), party status may not be granted to a manufacturing special permit. These packagings may be used in accordance with 49 CFR 173.22a.
 - d. This special permit serves as an approval under Special Provision A88 and State Variation US 3 of the ICAO TI and as a "Competent Authority Approval" as defined under 49 CFR § 107.1.
3. **REGULATORY SYSTEM AFFECTED:** 49 CFR Parts 106, 107 and 171-180.

Tracking Number: 2023044574

100 cells or batteries annually of a particular type.) Each different cell and battery type must comply with all the conditions of this special permit prior to being offered for transportation.

- (2) The state of charge for prototype and low production lithium ion cells or batteries may not exceed 30% when offered for transportation aboard cargo-only aircraft. This paragraph only applies to UN3480.
 - (3) The batteries including those packed with and contained in equipment must be equipped with an effective means of preventing dangerous reverse current flow when cells are connected in parallel.
 - (4) Cells and batteries including those packed with and contained in equipment must be protected against short circuits. Suitable methods of protecting the cells or batteries against short circuits include, but are not limited to, placing the batteries in individual plastic bags; or taping and covering the exposed terminals. The means of protection used to prevent short circuits must remain in place while the packages are in transportation.
 - (5) Equipment containing lithium cells or batteries must be protected from inadvertent activation.
 - (6) Transportation by ferry or cargo vessel is not authorized under the terms of this special permit.
- b. **TESTING:**
- (1) Each different cell and battery type must be subjected to the following tests:
 - (i) For cells of a type that have not been demonstrated by testing to pass all required tests as specified in the UN Manual of Tests and Criteria, 6th Revised Edition or any subsequent revision and amendment applicable at the date of the type testing (any subsequent revision and amendment to the UN Manual of Tests and Criteria may not be used unless incorporated by reference (see § 171.7)), three cells must be stored at 55 °C ± 2 °C for at least 48 hours followed by a short circuit test (connecting a conductor across the positive and negative terminals and maintaining this short circuit for at least 1 hour after the case temperature has returned to 55 °C ± 2 °C); and
 - (ii) One battery assembled from the cells of a type that have not been demonstrated by testing to pass all required tests as specified in the UN Manual of Tests and Criteria, 6th Revised Edition or any subsequent

4. **REGULATIONS FROM WHICH EXEMPTED:** 49 CFR § 172.101 Hazardous Materials Table Column (9B) in that the net weight of each battery may not exceed 35 kg and § 173.185(a)(1) in that low production and prototype batteries have not passed the criteria in Part III, subsection 38.3 of the UN Manual of Tests and Criteria, except as specified herein.
5. **BASIS:** This special permit is based on the application of KULR Technology Corporation dated April 13, 2023, submitted in accordance with § 107.109.
6. **HAZARDOUS MATERIALS (49 CFR 172.101):**

Hazardous Material Description			
Proper Shipping Name	Hazard Class/ Division	Identification Number	Packing Group
Lithium ion batteries including lithium ion polymer batteries	9	UN3480	N/A
Lithium ion batteries contained in equipment including lithium ion polymer batteries	9	UN3481	N/A
Lithium ion batteries packed with equipment including lithium ion polymer batteries	9	UN3481	N/A
Lithium metal batteries including lithium alloy batteries	9	UN3090	N/A
Lithium metal batteries contained in equipment including lithium alloy batteries	9	UN3091	N/A
Lithium metal batteries packed with equipment including lithium alloy batteries	9	UN3091	N/A

7. **SAFETY CONTROL MEASURES:**
 - a. **OPERATIONAL CONTROLS:**
 - (1) Only prototype and low production lithium ion cells or batteries and lithium metal cells or batteries, and those lithium cells or batteries contained in or packed with equipment, may be offered for transportation under the terms of this special permit. ("Low production" is defined as a production run of not more than

revision and amendment applicable at the date of the type testing (any subsequent revision and amendment to the UN Manual of Tests and Criteria may not be used unless incorporated by reference (see § 171.7)) must be stored at 55 °C ± 2 °C for at least 48 hours followed by a short circuit test (connecting a conductor across the positive and negative terminals and maintaining this short circuit for at least 1 hour after the case temperature has returned to 55 °C ± 2 °C); or

- (iii) If batteries comprise cells of a type that have been demonstrated by testing to pass all required tests as specified in the UN Manual of Tests and Criteria, 6th Revised Edition or any subsequent revision and amendment applicable at the date of the type testing (any subsequent revision and amendment to the UN Manual of Tests and Criteria may not be used unless incorporated by reference (see § 171.7)), a battery of a specific type must be subjected to a short circuit test (connecting a conductor across the positive and negative terminals and maintaining this short circuit for at least 1 hour), which may be conducted at a temperature range between room temperature (approximately 23 °C) and 55 °C ± 2 °C.
- (2) Cells and batteries are considered safe to transport under the terms of this special permit if the cells and batteries show no disassembly or fire after completion of these tests. A cell or battery type that has not passed these tests is not authorized to be offered for or transported under the terms of this special permit.
- c. **PACKAGING:**
 - (1) Prescribed packaging is as follows:
 - (i) Inner Packaging: Cells, batteries including those packed with and contained in equipment must be individually packed in a thermal runaway shield (TRS) packaging that consists of a proprietary polymer enclosure with a carbon fiber core containing a cooling liquid as described in KULR Technology Corporation's application dated December 18, 2020, and the test reports dated October 29, 2020, and October 15, 2021, which are on file with the Office of Hazardous Materials Safety (OHMS). The TRS packaging must completely enclose the cells, batteries or equipment containing cells or batteries.
 - (ii) Outer Packaging: The inner packaging must be placed into a UN 4G outer packaging of a tested design type provided the total gross mass of the package does not exceed the gross mass for which the design type has been tested. Other types of outer packagings, as currently authorized in Metal (4A, 4B, 4N), wooden (4C1, 4C2, 4D, 4F), or solid plastic (4H2)

boxes and metal (1A2, 1B2, 1N2), plywood (1D), or plastic (1H2) drums may additionally be used. The outer packaging must meet Packing Group I performance criteria.

(iii) Cells or batteries having a mass of 12 kg or greater and a strong, impact-resistant outer casing, including those packed with and contained in equipment, may be packed in rigid strong outer packagings, instead of packagings meeting the UN performance packaging requirements in paragraph 7.c.(1)(ii) of this special permit.

(iv) Cells and batteries must additionally be packaged in accordance with Packing Instruction 910 of the Supplement of the ICAO TI.

(2) A cell or battery with a net mass of more than 30 kg is limited to one cell or battery per outer packaging.

(3) For transportation aboard aircraft, the aggregate energy content of each inner package may not exceed 2.5 kWh or the equivalent lithium content (200 grams).

d. **MARKING REQUIREMENTS:** Each package, and overpack if used, prepared under the provisions of this special permit must be plainly marked with:

(1) DOT-SP 21167

(2) "FORBIDDEN FOR TRANSPORTATION BY VESSEL" at least 6 mm (0.25 inch) in height.

8. **SPECIAL PROVISIONS:**

a. In accordance with the provisions of Paragraph (b) of § 173.22a, persons may use the packaging authorized by this special permit for the transportation of the hazardous materials specified in paragraph 6, only in conformance with the terms of this special permit.

b. A person who is not a holder of this special permit, but receives a package covered by this special permit, may reoffer it for transportation provided no modification or change is made to the package and it is offered for transportation in conformance with this special permit, the HMR, and the ICAO TI.

c. A current copy of this special permit must be maintained at each facility where the package is offered or reoffered for transportation.

d. Each packaging manufactured under the authority of this special permit must be either (1) marked with the name of the manufacturer and location (city and state) of the facility at which it is manufactured or (2) marked with a registration symbol designated by the Office of Hazardous Materials Safety for a specific manufacturing facility.

e. A current copy of this special permit must be maintained at each facility where the packaging is manufactured under this special permit. It must be made available to a DOT representative upon request.

f. **ADVANCED NOTICE OF FAA HAZARDOUS MATERIALS SAFETY PROGRAM:** For shipments aboard cargo-only aircraft of hazardous materials authorized under this special permit, persons using the packaging authorized by this special permit must notify and be given authorization to offer shipments under the terms of this special permit by the FAA Office of Hazardous Materials Safety (9-AWA-AXH-SPFlightNotifications@faa.gov) before shipment aboard cargo-only aircraft may occur. This notification must be given at least five business days in advance of the need for authorization from FAA so that a fitness evaluation can be conducted. Adherence to the five business days notification does not guarantee persons using the packaging authorized by this special permit will be authorized by FAA to offer shipments aboard cargo-only aircraft.

g. This special permit in no way affects the need to obtain any required authorizations from other agencies of the United States Government or from the competent authorities of countries of origin, transit, and destination, and the State of the Operator.

h. For shipments aboard cargo-only aircraft under the terms of this special permit, flights must originate from a location within the United States of America. International destinations are not prohibited.

i. For each cell and battery type, persons using the packaging authorized by this special permit for the transportation of the hazardous materials specified in paragraph 6 must maintain the following record and upon request make this record available to DOT representatives or enforcement officials. The record to be maintained is as follows:

(1) A description of each cell and battery type and types of tests conducted and test results prior to offering for transportation.

(2) Dates and description of each shipment, to include number of cells and batteries.

9. **MODES OF TRANSPORTATION AUTHORIZED:** Motor vehicle, rail freight, and cargo-only aircraft.

10. **MODAL REQUIREMENTS:** A current copy of this special permit must be carried aboard each aircraft or motor vehicle used to transport packages covered by this special permit. The shipper must furnish a copy of this special permit to the air carrier before or at the time the shipment is tendered.

11. **COMPLIANCE:** Failure by a person to comply with any of the following may result in suspension or revocation of this special permit and penalties prescribed by the Federal hazardous materials transportation law, 49 U.S.C. 5101 et seq.:

- o All terms and conditions prescribed in this special permit and the Hazardous Materials Regulations, 49 CFR Parts 171-180.
- o Persons operating under the terms of this special permit must comply with the security plan requirement in Subpart I of Part 172 of the HMR, when applicable.
- o Registration required by § 107.601 et seq., when applicable.

Each "Hazmat employee", as defined in § 171.8, who performs a function subject to this special permit must receive training on the requirements and conditions of this special permit in addition to the training required by §§ 172.700 through 172.704.

No person may use or apply this special permit, including display of its number, when this special permit has expired or is otherwise no longer in effect.

Under Title VII of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)—"The Hazardous Materials Safety and Security Reauthorization Act of 2005" (Pub. L. 109-59), 119 Stat. 1144 (August 10, 2005), amended the Federal hazardous materials transportation law by changing the term "exemption" to "special permit" and authorizes a special permit to be granted up to two years for new special permits and up to four years for renewals.

12. **REPORTING REQUIREMENTS:** Shipments or operations conducted under this special permit are subject to the Hazardous Materials Incident Reporting requirements specified in 49 CFR §§ 171.15 - Immediate notice of certain hazardous materials incidents, and

171.16 - Detailed hazardous materials incident reports. In addition, the grantee(s) of this special permit must notify the Associate Administrator for Hazardous Materials Safety, in writing, of any incident involving a package, shipment or operation conducted under terms of this special permit.

Issued in Washington, D.C.:



for William Schoonover
Associate Administrator for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous Materials Safety, Pipeline and Hazardous Materials Safety Administration, U.S. Department of Transportation, East Building PHH-13, 1200 New Jersey Avenue, Southeast, Washington, D.C. 20590.

Copies of this special permit may be obtained by accessing the Hazardous Materials Safety Homepage at <https://www.phmsa.dot.gov/approvals-and-permits/hazmat/special-permits-search>. Photo reproductions and legible reductions of this special permit are permitted. Any alteration of this special permit is prohibited.

PO: Jephthah Nti



+1 (408) 675-7002



SafeCASE@kulrtechnology.com



4863 Shawline Street Suite B
San Diego, CA 92111

