

Supplier Instruction / Transport Specifications

Guidelines and instructions

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Stadler US, Inc., 5880 W 150 S, Salt Lake City, UT 84104, United States of America

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1 Acronyms

FAI	First article inspection
FCA	Free Carrier (Incoterms 2010)
FOB	Free on Board (widely used in US shipping terms)
DAP	Delivered at Place (Incoterms 2010)
DDP	Delivered Duty Paid (Incoterms 2010)
EXW	Ex Works (Incoterms 2010)
Incoterms	International Commercial Terms, we work exclusively with Incoterms 2010
ISF	Importer Security Filing
LC	Load carrier
SDS	Safety Data Sheets
L-XXXX	4-digit project number
NCR	Non-conformance report
KIT	Assembly unit
PSI	Pre-shipment inspection
IQC	Incoming Quality Control

2 General

This specification defines the required logistical measures for processing deliveries ordered by Stadler US, Inc. It serves to standardize the processing, identification and tracking of all deliveries.

This specification also defines the provisions for proper packaging. In the event of failure to comply with directives, the supplier shall carry the costs incurred (e.g. processing fees, additional expenditure items etc.).

3 Condition at time of delivery

The condition of the items supplied shall comply with the provisions of the order including all applicable documents such as the technical specifications and delivery documents as outlined in this chapter.

3.1 Delivery dates / scheduling

The agreed delivery dates quoted in the order document shall be complied with. In the case of DDP or DAP Incoterms, this is the date of delivery at Stadler. For FCA, it is the date of leaving the supplier. In the event of any delay in a delivery, the purchaser shall be notified immediately and in writing.

3.2 Labelling of parts supplied

The parts supplied shall be provided with sufficient permanent labelling.

Attach the labels to the article or its packaging. Do not attach on visible areas, connection points (e.g. holes, adhesion or welding points). This labelling shall display the following content:

- Stadler purchase order number (mandatory)
- Stadler article number (mandatory)
- Article designation (mandatory)
- Drawing number incl. index/version (if present)
- For reel material, length (per reel) (mandatory)
- Batch number / Lot number (if applicable)
- Expiry date / Production date (if applicable)
- Serial number (if applicable)



Figure 1 - Article Labeling Example 1



Figure 2 - Article Labeling Example 2

3.2.1 Position of label on part

Bulk goods / Small parts smaller than 80 mm	On the packaging
All other parts / System components	On every component (not on main viewing surface)
KIT (assembly kit)	Attach a list of contents to each long side and broadside of the load carrier (if applicable)
Cables	Cable tag at each end, at least one article number and the index 1x on the cable and on the reel

The packing unit shall be labelled on at least one longitudinal side and broadside.

If sufficient labelling is not provided, Stadler US reserves the right to charge the applicable supplier for identifying the parts.

4 Packaging / Transport unit / Load carrier (LC)

4.1 Packaging, general

Unless otherwise mutually agreed, the parts supplied should be packaged in standardized, "stackable" and reusable packaging / LCs if possible. Euro pallets with collars and lids are the preferred shipping container. The parts supplied shall be arranged in such a way within the packaging / LCs that the quantity and the components themselves can be easily identified when they are opened. Furthermore, the parts supplied shall be arranged and secured in such a way that they are not damaged during proper transport and storage.

Painted and bare metal parts or visible parts shall be suitably protected against damage and dirt. When no assembly units (KIT) are defined, then it shall be possible to remove the parts individually and protect every visible part (e.g. painted parts) against damage.

4.2 Transport units / LCs / Packaging

For all types of shipment, sufficient, safe and suitable packaging shall be chosen for the particular goods. Any damage during transport due to inadequate packaging will be charged to the supplier.

The parts supplied shall not exceed the outside dimensions of the load carrier.



Figure 3 - Packing Units

The packing unit shall be labelled on at least one longitudinal side and broadside with labels as outlined in chapter 3.2.1.

All packing units / LCs being imported to the United States shall comply with IPPC / ISPM 15 standards. The respective stamps shall be clearly visible.

Parts being imported shall be protected by packaging that is adequate for the respective transport mode chosen (wooden crate for LCL ocean freight shipments, anti-corrosion inner plastic wrap if necessary, sturdy cardboard packaging or lightweight wood packaging for airfreight).

4.2.1 Packing list / Package identification

The relevant packing list constitutes part of every packing unit / packaging unit. This packing list shall be attached to the outside of the packaging in a clearly visible location.

The following details shall be provided on the packing list:

- General data (at least the supplier, recipient and order number)
- Stadler Purchase Order number (i.e. PO123456)
- Stadler Purchase Order line item number
- Stadler article number
- Article designation
- Actual quantity (contents / delivery quantity)

Furthermore, the following shall be displayed on the packing unit:

- Project name / Number (e.g. Caltrain / L-4380)
- Vehicle number (mandatory) and car number (if applicable)
- KIT designation (if applicable)
- Serial numbers (if applicable: mandatory)

The packing unit shall be labelled on at least one longitudinal side and broadside.

The supplier shall affix specific transport and storage condition information to the outside of the packing unit in a clearly visible location (e.g. temperature-sensitive goods).

The purchaser shall be notified well in advance and in writing of these specific transport and storage conditions.

4.2.2 Requirement for the packing unit / Load Carrier (LC)

The LC shall satisfy the following requirements:

- Compliance with safety regulations
- Suitable for safe transport with standard transport equipment (lift trucks, fork lift, etc.) without additional load securing measures
- Protection against damage to parts (when handled properly)
- Compact and, if possible, stackable
- Meet demand / Meet assembly needs
- Contents arranged clearly (separated by spacers, if necessary)
- Splash water resistant

- Content protected by adequate inner packaging (sealed with plastic wrap, anti-corrosion agents, ESD protective material (anti-static) where necessary)
- Sensitive Material shall have "Tip N Tell" indicators on the exterior of the packaging material (e.g. glass, doors, electronics, etc.)

The following standards (standard pallets) can be seen from this example:

- Material is labelled
- Well-arranged and simple to remove
- Non-kit articles grouped by article number
- Material can be picked individually from the container for further processing
- Packed for safe transport and protected
- Load carrier not damaged
- No overhang (compliance with dimensional specs.)



Figure 4 - Standard Pallet Packing

Example: Assembly kit (KIT)

- Material is labelled
- Well-arranged and simple to remove
- Packed for safe transport and protected
- No damage to load carrier
- Stackable where possible
- Material is easy to identify using a list of contents and drawing (optional: a photo can also be attached)
- Weather-protected and with sealed base



Figure 5 - Standard Assembly Kit Packing

Depending on the component, the center of gravity may be an issue. Furthermore, the goods shall be protected against any possibility of external damage. Comment: Containers on castors have only limited suitability for transport on loading areas.

5 Documentation

5.1 Data sheets

5.1.1 Material certifications and quality control

All material certificates and outgoing quality control checklists for the product(s) shall be included in the shipment. If the certifications and checklists are not provided, Stadler US reserves the right to charge the applicable supplier for the effort to obtain the requested documentation.

5.1.2 Test certificates and product data sheets

All documents (certificates, product data / SDS for hazardous material, etc.) that are part of the order shall be sent to the following e-mail address prior to shipping:

supplier.documents@stadlerrail.com

The e-mail subject line and the name of the attachment (document) shall be in the following format:

Test certificate with serial number
Re: Order_Supplier_Order number_Serial number
Example: L-4380_Company sample_BE-452978_A210912

If there are several serial numbers in one document, then these shall be specified as follows:

Re: Order_Supplier_Order number_Serial number X-serial number Y
Example: L-4380_Company sample_BE-452978_A210912-A210920

Test certificate without serial number:

Re: Order_Supplier_Order number
Example: L-4380_Company sample_BE-452978

Attachment (document): Same as subject line plus "Document contents"

Re: Order_Supplier_Order number_Documents
Example: L-4380_Company sample_Maintenance instructions and spare parts list

When documents are updated, they shall be submitted by the supplier at his own initiative to the contact email stated above.

5.1.3 Package insert: Technical documents / advertising catalogues

No promotional materials, catalogues, brochures, etc. may be included. Technical documents, descriptions, drawings, operating and maintenance instructions can be included, but these shall be listed separately on the documents (packing lists and delivery notes). They shall also be sent electronically as outlined in chapter 5.1.1.

6 Compiling shipping documents

6.1 Addressing / details on the invoices

The invoice address for orders from Stadler US, Inc. is always:

**Stadler US, Inc.
5880 W 150 S
Salt Lake City, UT 84104**

All paperwork and labels shall be written in English language.

We require the following details on the invoices:

- Project name / Number (e.g. Caltrain / L-4380)
- Stadler Purchase Order number (i.e. PO123456)
- Stadler Purchase Order line item number
- Quantity per Contract Product delivered
- Item description in English (even if the order is placed with German item description)
- Invoice and delivery note number
- Contact person, supplier
- Contact person, Stadler (purchaser)
- Stadler article number
- Drawing number incl. index (if applicable)
- Customs tariff number
- Country of origin
- Serial number (if applicable)
- Layout of invoice in English

For deliveries following a nonconformity, repair order and replacement delivery, the Stadler NCR-number as well as the order number shall always be included on the invoice.

Invoices can be sent electronically to invoices.staus@stadlerrail.com or by mail to the above address. General inquires and Supplier statements can be sent electronically to accountspayable@stadlerrail.com.

6.2 Delivery notes

A separate delivery note with the following details shall be issued for each delivery:

- Stadler order number
- Delivery note number
- Project name / Number (e.g. Caltrain / L-4380)
- Vehicle / car number
- Stadler article number
- Item description in English
- Drawing number incl. index (if applicable)
- Third-party article number
- Serial number (if applicable)

- Point of contact, supplier
- Point of contact, Stadler (purchaser)

The Stadler NCR-number shall always be included in the delivery note for deliveries following a nonconformity, repair order and replacement delivery. A separate delivery note shall be provided for these deliveries. The order number shall also be visible.

Deliveries shall be announced to Shipping@stadlerrail.com at least one (1) day before leaving the Supplier's facility.

6.3 Shipment requirements for ocean freight shipments

In order to be compliant with both import regulations and Cargo Preference laws, Stadler US, Inc. needs all suppliers to comply with the following shipping requirements:

For all ocean freight shipments Stadler US, Inc. needs a copy of the rated Bill of Lading for these shipments. Please send to shipping@stadlerrail.com. This is especially important for full container shipments. Stadler US, Inc. shall submit all Bills of Lading for ocean freight shipments to the Maritime Administration (MARAD).

Stadler US, Inc. requests that all vessels used for ocean freight shipments be US flag vessels.

For ISF (importer security filing) compliance, the supplier or their logistics provider shall provide all necessary information to Stadler US, Inc. to file ISF three days before the vessel sails. Alternatively, ISF filing can be coordinated directly between the supplier's logistics provider and our customs broker, however, Stadler US, Inc. shall also be notified of ISF filing.

7 Incoming goods inspection

An incoming goods inspection for quality and quantity deviations (visual and dimensional inspection) is performed after delivery. The supplier shall be notified of all deviations as soon as possible via an NCR. If defects are discovered at a later date, these are communicated to the supplier after they have been detected.

If defects are discovered during the production processes at Stadler US, Inc. that were not detected during the incoming goods inspection(s), then Stadler US, Inc. reserves the right to charge the supplier for reimbursement of the costs incurred therefrom as supported by the corresponding evidence.

Stadler US, Inc. expects that the quality of the delivered goods is assured by the supplier through ongoing inspections during in-house processes and/or by an outgoing goods inspection.

The final acceptance report(s) shall be attached to the delivery.

If the supplier is at fault for a non-conformance, they shall bear all resulting costs, such as return packaging for the goods by Stadler US, Inc., transport costs, import customs charges, and taxes. If special packaging requirements are applicable, these shall be communicated to Stadler in the form of a packaging specification, otherwise the packaging is left to the discretion of Stadler. The term for return shipments to the supplier is "EXW". The supplier is responsible for the costs of new shipment to Stadler. In this case, the term is "DDP". Any costs for scrapping the goods by Stadler US, Inc. are also paid by the supplier, these will be billed through the NCR process.

8 Other shipping instructions

- The delivery terms and conditions (Incoterms 2010) are defined in the orders. These shall be strictly adhered to.
- For Incoterm DAP and FOB Salt Lake City freight prepaid, please arrange for shipment and send shipping information to shipping@stadlerrail.com for us to better plan our receiving activities.
- For Incoterm FCA and FOB origin freight collect, please send the pertinent information to shipping@stadlerrail.com to arrange for pickup.

All deliveries shall be shipped to:

Stadler US, Inc.
5880 W 150 S
Salt Lake City, UT 84104

- Unless a different delivery address is mentioned on the purchase order or requested by Stadler US, Inc.
- Please call (385) 355-1813 or (801) 854-7771 extension 2922 to make a delivery appointment.
- Receiving hours are from 7AM to 3PM Monday through Friday. Small packages can be received until 4PM. Exceptions shall be approved in advance by Stadler US, Inc.
- Box trucks are acceptable for deliveries, but shall have a height suitable for a standard forklift to enter and unload the goods.

9 First Article Inspection (FAI) for containers

The packaging materials and transport containers may be subject to a FAI or PSI by Stadler US, Inc. This usually takes place at the supplier before first delivery. In the event of any cases of non-compliance, in this respect, Stadler US, Inc. reserves the right to investigate appropriate measures.

10 Non-Compliance with Specifications

Non-compliance and/or non-conformance with the specifications or requirements outlined herein shall be regarded as Non-Conforming Product. The Buyer can submit an NCR at any time, notifying the Supplier of Non-Conforming Product. A Non-Conforming Product which receives an NCR will result in an administration fee of \$200.00 USD to be paid by the Supplier. Other associated costs incurred by the Buyer as a result of the correction of Non-Conforming Product, will be paid by the Supplier, including but not limited to applicable hourly rates.

11 Questions / Further Information

If there are any questions regarding this document, or a request for further information, please reach out to the applicable contact person at Stadler US, Inc.