

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

CROWN EMBALAGENS METÁLICAS DA AMAZÔNIA S/A - CROWN BEVERAGE CAN BRAZIL DIVISION

CERTIFICATE NUMBER	ASI STANDARD	CERTIFICATION LEVEL	ASI ACCREDITED AUDITOR
197	CHAIN OF CUSTODY (V1 2017)	FULL CERTIFICATION	DNV BUSINESS ASSURANCE SERVICES UK LTD.
DATE OF ISSUE	DATE OF EXPIRY	CERTIFIED SINCE	
25 MARCH 2022	24 MARCH 2025	25 MARCH 2022	

AUTHORISED BY

A handwritten signature in white ink on a dark grey background.

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Validity of this Certificate is subject to continued conformance with the applicable ASI Standard and can be verified at

www.aluminium-stewardship.org

CERTIFICATION SCOPE

The Crown Beverage Can Brazil Division including Can Plants at Cabreúva, São Paulo; Estancia, Sergipe; Ponta Grossa, Parana; Rio Verde, Goias; Teresina, Piaui; the Can End Plant at Manaus, Amazonas and the Corporate Office at Cabreúva, São Paulo (Brazil).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Crown Holdings, Inc
ENTITY NAME	Crown Embalagens da Amazonia - Crown Beverage Brazil
CERTIFICATION SCOPE	The Crown Beverage Brazil Division including Can Plants at Cabreúva, São Paulo; Estancia, Sergipe; Ponta Grossa, Parana; Rio Verde, Goias; Teresina, Piaui; the Can End Plant at Manaus, Amazonas and the Corporate Office at Cabreúva, São Paulo.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 21 February 2022 – 10 March 2022
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 12 March 2022
AUDIT SCOPE	<p>The audit scope covers the activities across the Crown Beverage Brazil Division including the Can Plants at Cabreúva and Ponta Grossa, the Can End Plant at Manaus and the Corporate Office.</p> <p>The ASI multi-site sampling approach was undertaken to include the Can Plants at Estancia, Rio Verde and Teresina.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Post-Casthouse <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none">• Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.

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- ☑ The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
 - ☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION PERIOD 25 March 2022 – 24 March 2025

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 24 September 2023

CERTIFICATION NUMBER 197

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity has been a member of ASI in the Production and Transformation Class since 2020. The Entity is committed to complying with all obligations to ASI membership and the ASI Grievance Mechanism. For more information: https://aluminium-stewardship.org/about-asi/asi-members/crown-holdings-inc
1.2 Management system	Conformance	The Entity has developed an ASI Manual and has a Management System that meets all applicable requirements of the CoC Standard, in all Facilities under the Entity's Control that have Custody of CoC Material.
1.3 Management system reviews	Conformance	The Entity has developed an ASI Manual and has a Management System that meets all applicable requirements of the CoC Standard, in all Facilities under the Entity's Control that have Custody of CoC Material. The ASI Manual is updated periodically and to address areas that may generate potential non-conformance risks. The ASI Manual is periodically reviewed and updated through the ASI Committee which is held every six months.
1.4 Management representative	Conformance	The Entity has appointed the Corporate Quality Manager as the Management Representative who holds responsibility and authority for compliance with all requirements of the ASI Chain of Custody Standard applicable to Entity, with full support from the ASI Committee, to ensure an integrated view of the organization, compliance with the criteria and implementation of processes.
1.5 Training	Conformance	The Entity has implemented communication and training measures for all involvement with the ASI Chain of Custody Standard, using different tools to promote communication, training, and awareness to relevant employees.
1.6 Record keeping	Conformance	The Entity has defined in the ASI Manual that all documents related to the ASI Chain of Custody Standard must be retained for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has defined in the ASI Manual, the method to provide the incoming quantity of CoC Materials during the calendar year, reporting the

CRITERION	RATING	COMMENT
		information to the ASI Secretariat within three months after each calendar year.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has defined in the ASI Manual, the method to provide the incoming quantity of CoC Materials during the calendar year, reporting the information to the ASI Secretariat within three months after each calendar year.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has defined in the ASI Manual, the method to provide the maximum Positive Balance in the calendar year carried over to the subsequent Material Accounting Period (if applicable), and reporting the information to the ASI Secretariat within three months after each calendar year.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has defined in the ASI Manual, the method for providing the maximum Internal Overdraw within the calendar year (if applicable), and the CoC Material Input Quantity percentage that this represents, reporting the information to the ASI Secretariat within three months after each calendar year.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	The Entity is not involved in Aluminium Re-melting/Refining activities.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	The Entity is not engaged in producing Casthouse Products.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	The Entity is not using ASI Credits.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Entity does not use Outsourcing Contractors for CoC Material.
2.2a Control of CoC Material	Not Applicable	The Entity does not use Outsourcing Contractors for CoC Material.
2.2b No further outsourcing	Not Applicable	The Entity does not use Outsourcing Contractors for CoC Material.
2.2c Risk assessment	Not Applicable	The Entity does not use Outsourcing Contractors for CoC Material.
2.3 Output Quantity	Not Applicable	The Entity does not use Outsourcing Contractors for CoC Material.
2.4 Verification and record-keeping	Not Applicable	The Entity does not use Outsourcing Contractors for CoC Material.

CRITERION	RATING	COMMENT
2.5 Error management	Not Applicable	The Entity does not use Outsourcing Contractors for CoC Material.
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		
3.1a CoC Certification Scope - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Performance Standard - Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a CoC Certification Scope - Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard - Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope - Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard - Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Pre-Consumer Scrap and Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Supplier records	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Cash payments	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope - Casthouses	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Performance Standard - Casthouses	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 Casthouse Products	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		

CRITERION	RATING	COMMENT
6.1a CoC Certification Scope - Post-Casthouse	Conformance	All the Entity's operating plants are included in the Entity's CoC Certification Scope and all plants receive and produce ASI Aluminium.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	All the Entity's operating plants are included in the Entity's CoC Certification Scope and all plants receive and produce ASI Aluminium. The Entity is working towards its entire supply chain being certified to the ASI Performance Standard and ASI Chain of Custody Standard so it can purchase ASI Aluminium from ASI Certified Entities.
6.1c Sourcing ASI Aluminium	Conformance	All the Entity's operating plants are included in the Entity's CoC Certification Scope and all plants receive and produce ASI Aluminium.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has defined an Anti-Corruption practice by requesting suppliers submit and accept the Supplier Code of Conduct during the supplier approval process. The Entity has a Responsible and Ethical Sourcing Policy which references this practice - refer to page 2 under Business Integrity and Anti-Corruption: https://www.crowncork.com/sites/default/files/code-conduct-brazil.pdf
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has defined the practice of communicating the Responsible and Ethical Procurement Policy during the supplier approval process: https://www.crowncork.com/sites/default/files/Translate_responsible-ethical-sourcing-policy_2021_PT_BR.pdf
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has defined the practice the Human Rights Due Diligence by requesting suppliers submit and accept the Supplier Code of Conduct during the supplier approval process. The Entity has a Human Rights Policy – refer to page 1 under Human Rights/Employment Practices/Health and Safety: https://www.crowncork.com/sites/default/files/code-conduct-brazil.pdf
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has defined the practice to avoid the use of conflict minerals in the manufacture of products during the supplier approval process by requiring adherence to the Conflict Mineral Policy. https://www.crowncork.com/conflict-minerals-policy

CRITERION	RATING	COMMENT
7.2 Risk assessment	Conformance	The Entity assesses the risks of non-compliance with its Responsible Sourcing Policy by suppliers of Non-CoC Materials during the supplier approval process, to prevent and mitigate risks to the supply of Materials.
7.3 Complaints mechanism	Conformance	The Entity has defined a grievance mechanism which allows all stakeholders and rightsholders to express concerns about non-compliance with the Responsible Sourcing Policy in the Aluminium supply chain, anonymously via a third party: https://www.crowncork.com/investors/corporate-governance/toll-free-reporting-line
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has developed a Material Accounting System for CoC Materials, including spreadsheets and a computerized system, to control and record Input Quantity and Output Quantity and determine the input and output volumes in the system.
8.2a Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2b Pre-Consumer Scrap (total)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.3 Material Accounting Period	Conformance	The ASI Manual defines that the Material Accounting System must specify a Material Accounting Period of 12 months.
8.4 Input Percentage	Conformance	The Entity has determined the method to calculate and record the Input Percentage for the Material Accounting Period, using the calculation defined in the ASI Chain of Custody Standard.
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6 Output Quantity determination	Conformance	The Entity has determined the method to calculate and record the Output Quantity for the Material Accounting Period.
8.7 Output Quantity designation	Conformance	The Entity has determined the method to calculate and record the Output Quantity for the Material Accounting Period, being considered as 100% CoC Material. The Entity, with information on the percentage and volume of the ASI Aluminium under the control of the Entity, will complete calculations of the mass

CRITERION	RATING	COMMENT
		balance and the availability of metal for sale discounting any process losses.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity produces Pre-Consumer Scrap during its production process and uses the Input Percentage for the Material Accounting Period provided to determine the Output Quantity of Eligible Scrap.
8.9 Outputs not exceed Inputs	Conformance	The Entity's ASI Manual defines the method to calculate and record the total percentage of CoC Materials for the Material Accounting Period, ensuring that the total output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to total CoC Material and/or Eligible Scrap input during the Material Accounting Period.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has determined that the Internal Overdraw must not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has determined that the Internal Overdraw must not exceed the amount of CoC Material input for the Material Accounting Period.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has determined that the Internal Overdraw must not exceed the amount of CoC Material input and will be made up within the subsequent Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	The Entity has developed a Material Accounting System for CoC Materials, which includes the use of spreadsheets and a computerized system. The Material Accounting System identifies the Positive Balance transfer system to the next Material Accounting Period.
8.11b Positive Balance (expiry)	Conformance	The Entity has developed a Material Accounting System for CoC Materials, which includes the use of spreadsheets and a computerized system. The Material Accounting System identifies the Positive Balance transfer system to the next Material Accounting Period.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material. The Entity's Aluminium products are accompanied by an invoice or delivery note, which contains information on the shipment including the issuing Entity, recipient,

CRITERION	RATING	COMMENT
		product type, net shipping weight, date of issue and reference number.
9.2a Date of issue	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material. The Entity's Aluminium products are accompanied by an invoice or delivery note, which contains information on the shipment including the date of issue.
9.2b Reference number	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material. The Entity's Aluminium products are accompanied by an invoice or delivery note, which contains information on the shipment including the issuing Entity, recipient, product type, net shipping weight, date of issue and reference number.
9.2c Issuing Entity	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material. The Entity's Aluminium products are accompanied by an invoice or delivery note, which contains information on the shipment including the issuing Entity, recipient, product type, net shipping weight, date of issue and reference number.
9.2d Receiving customer	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material. The Entity's Aluminium products are accompanied by an invoice or delivery note, which contains information on the shipment including the address of the customer who will receive the CoC Document.
9.2e Responsible employee	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material. The Entity's Aluminium products are accompanied by an invoice or delivery note, which contains information on the shipment including the issuing Entity, recipient, product type, net shipping weight, date and reference number and data of the responsible employee of the Entity who can verify the CoC Document information at the final destination.
9.2f Conformance statement	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material. The Entity's Aluminium products are accompanied by an invoice or delivery note which contains the statement: "The information provided in the CoC document complies with ASI standard CoC."
9.2g Type of CoC Material	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material, which includes the type of CoC Material in the shipment.

CRITERION	RATING	COMMENT
9.2h Mass of CoC Material	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material, which includes the mass of CoC Material in the shipment.
9.2i Mass of total material	Conformance	The Entity has defined the CoC Document sent with each shipment of CoC Material, which includes the mass of total Material in the shipment.
9.3a Sustainability Data (optional)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3b Sustainability Data (passing on)	Conformance	The Entity will not make Sustainability Data available in the CoC Document initially, only when requested and agreed with the receiving Entity.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity will not make Sustainability Data available in the CoC Document initially, only when requested and agreed with the receiving Entity.
9.4 Supplementary Information (optional)	Conformance	The Entity will not make Supplementary Information available in the CoC Document initially, only when requested and agreed with the receiving Entity.
9.5 Response to verification requests	Conformance	The Entity has defined in the ASI Manual the system to guarantee information in the CoC Documents when requested by the Entity receiving CoC Material.
9.6 Error management	Conformance	The Entity has defined in the ASI Manual the method for correcting possible non-conformities after issuing CoC Material or Eligible Scrap, documented in the non-conformance and corrective action procedure.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has defined a process and the response for verifying the required information in received CoC Documents. However the Entity has not yet received any CoC Material from suppliers.
10.2 Verify consistency with shipments	Conformance	The Entity has not yet received any CoC Material from suppliers.
10.3 Verify supplier CoC Certification status	Conformance	The Entity checks the ASI website on a regular basis to verify the validity and scope of the supplier's ASI Chain of Custody Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error management	Conformance	The Entity has defined in the ASI Manual the method for correcting possible non-conformities after receiving CoC Material or Eligible Scrap,

CRITERION	RATING	COMMENT
		documented in the non-conformance and corrective action procedure.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	The Entity does not engage with the Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	The Entity does not engage with the Market Credits System.
11.1c No double counting	Not Applicable	The Entity does not engage with the Market Credits System.
11.1d No Positive Balance for ASI Credits	Not Applicable	The Entity does not engage with the Market Credits System.
11.2a Date of issue	Not Applicable	The Entity does not engage with the Market Credits System.
11.2b Reference number	Not Applicable	The Entity does not engage with the Market Credits System.
11.2c Issuing Entity	Not Applicable	The Entity does not engage with the Market Credits System.
11.2d Receiving Entity	Not Applicable	The Entity does not engage with the Market Credits System.
11.2e Conformance statement	Not Applicable	The Entity does not engage with the Market Credits System.
11.2f ASI Credits statement	Not Applicable	The Entity does not engage with the Market Credits System.
11.2g Quantity	Not Applicable	The Entity does not engage with the Market Credits System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	The Entity does not engage with the Market Credits System.
11.3b Material Accounting System – purchasing	Not Applicable	The Entity does not engage with the Market Credits System.
11.3c Expiry	Not Applicable	The Entity does not engage with the Market Credits System.
11.3d No re-trading	Not Applicable	The Entity does not engage with the Market Credits System.
11.3e No allocation to physical products	Not Applicable	The Entity does not engage with the Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity does not engage with the Market Credits System.

CRITERION	RATING	COMMENT
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	The Entity does not engage with the Market Credits System.
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity has defined in the ASI Manual the method for making claims and using the ASI logo, which is consistent with the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity has defined in the ASI Manual the method for making claims or using the ASI logo, consistent with the ASI Claims Guide and that verifiable evidence exists to support the claims.
12.1c Employee training	Conformance	The Entity has defined in the ASI Manual the method for making claims or using the ASI logo, consistent with the ASI Claims Guide and appropriate training is provided so that the relevant Workers understand and properly communicate claims.

Document Control and Version History

Revision	Date	Notes
0	25 March 2022	Initial Certification Audit – Full Certification