

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Chongqing Millison Technologies Inc.

CERTIFICATE NUMBER

381

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

SGS-CSTC
STANDARDS
TECHNICAL SERVICES

DATE OF ISSUE

2 SEPTEMBER 2024

DATE OF EXPIRY

1 SEPTEMBER 2027

CERTIFIED SINCE

2 SEPTEMBER 2024

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', with a long horizontal line extending to the right.

CERTIFICATION SCOPE

Re-melting, casting and processing for the manufacture of Aluminium alloy parts at Chongqing Millison Technologies Inc. facilities in Banan District, Chongqing, China

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
info@Aluminium-stewardship.org

Validity of this Certificate is subject to continued conformance with the applicable ASI Standard and can be verified at
www.Aluminium-stewardship.org

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

| | |
|-------------------------------|--|
| MEMBER NAME | Chongqing Millison Technologies Inc. |
| ENTITY NAME | Chongqing Millison Technologies Inc. |
| CERTIFICATION SCOPE | Re-melting, casting and processing for the manufacture of Aluminium alloy parts at Chongqing Millison Technologies Inc. facilities in Banan District, Chongqing, China. |
| SUPPLY CHAIN ACTIVITIES | <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesMaterial Conversion |
| ASI STANDARD | <ul style="list-style-type: none">Chain of Custody Standard V2 |
| AUDIT TYPE | <ul style="list-style-type: none">Initial Certification Audit |
| AUDIT FIRM | SGS-CSTC Standards Technical Services |
| AUDIT DATE | <ul style="list-style-type: none">28 – 29 April 2024 |
| AUDIT REPORT SUBMISSION | <ul style="list-style-type: none">23 June 2024 |
| AUDIT SCOPE | <p>The Audit Scope includes re-melting, casting and processing for the manufacture of Aluminium alloy parts at Chongqing Millison Technologies Inc. facilities in Banan District, Chongqing, China.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesMaterial Conversion <p>All applicable Criterion in the ASI Performance Standard were included in the Audit Scope.</p> |
| AUDIT OUTCOME | 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.<input checked="" type="checkbox"/> 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.<input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective. |

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| CERTIFICATION PERIOD | 2 September 2024 – 1 September 2027 |
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| NEXT AUDIT TYPE | Surveillance Audit |
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| NEXT AUDIT DUE DATE | 1 March 2026 |
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| CERTIFICATE NUMBER | 381 |
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If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://Aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

ENTITY OVERVIEW

Chongqing Millison Technologies Inc. (the 'Entity') was founded in May 2001, registered at No. 1, Annex 1 and Annex 2, No. 1 Tian'an Road, Banan District, Chongqing. The Entity produces two major categories of products: Aluminium alloy auto parts and Communications parts, which are predominantly sold to manufacturers in Europe, America and the Asia-Pacific region. The Entity is located in the Tianming Automobile and Motorcycle Industrial Park, which covers over 80 hectares. There are no indigenous people, schools, scenic areas, drinking water source areas and other sensitive receptors. The nearest sensitive receptor is approximately 1.5 kilometres from the Entity, on the Yangtze River (Chang Jiang).

The Entity's main production processes include remelting (smelting), die-casting, cleaning/shot blasting, and machining, with a designed production capacity of 30,000 tonnes per annum. The Entity's production capacity is approximately 25,000 tonnes per annum.

The main building on-site includes a joint workshop and a comprehensive office building. The joint workshop has a melting furnace, bag filter, die-casting machine, holding furnace, trimming machine, grinding line body, automatic grinding station, ageing furnace, shot blasting machine, machining centre, cleaning machine and assembly machine. The workshop also has a semi-finished products transit warehouse and an automatic 3D warehouse for finished products.

The Entity has a sewage treatment station, an air pressure station, a hazardous waste storehouse, and a general solid waste storehouse, as well as a dormitory for shift Workers. It is planning to construct two new workshops and a Research and Development (R&D) building. After the new facilities are commissioned, total capacity is expected to increase by 20,000 tonnes per year.

The Entity currently employs 1,270 people, and the main interested parties include shareholders, customers, partners, the downstream supply chain, and relevant government departments. The Entity's continuous development provides employment opportunities for neighbouring communities and promotes the development of the local economy.

MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

| OVERALL | |
|--------------------|---------------|
| SYSTEMS | Medium |
| RISKS | Medium |
| PERFORMANCE | Low |
| OVERALL | MEDIUM |

FINDINGS

| CRITERION | RATING | COMMENT |
|--|-------------|--|
| 1. MANAGEMENT SYSTEM AND RESPONSIBILITIES | | |
| 1.1 ASI Membership | Conformance | The Entity has been registered as an ASI Member since 2023 under the Production and Transformation membership class. The Entity complied with all obligations to ASI membership and the ASI Grievance Mechanism. For more information, access the links: http://aluminium-stewardship.org/about-asi/current-members/ |
| 1.2 CoC Management System | Conformance | The Entity has a Management System that meets all applicable requirements of the ASI Chain of Custody Standard and includes an ASI Manual. |
| 1.3 CoC Management System Monitoring | Conformance | The Entity annually reviews its Management System based on its procedure and addresses potential areas of Non-Conformance. |
| 1.4 Management Representative | Conformance | The Entity has nominated its Production Director as a Management Representative responsible for implementing and managing the ASI Chain of Custody Standard. |
| 1.5 Communications and Training | Conformance | The Entity has established an annual training plan for the ASI CoC Management System to ensure relevant personnel are aware of and competent in their responsibilities under the ASI Chain of Custody Standard. This plan includes training on the ASI Chain of Custody Standard, the Entity's CoC Manual, and relevant Procedures. |
| 1.6 Records Management | Conformance | The Entity retains its records for a minimum of five years as per its Document Control Procedure. |
| 1.7a Reporting to ASI (Inputs and Outputs of CoC Material) | Conformance | The Entity has established a Procedure for reporting Input and Output of CoC Material information to the ASI Secretariat. As the Audit was the Initial Certification Audit, the Entity will report its 2024 data to the ASI Secretariat in the next calendar year. |
| 1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap) | Conformance | The Entity has established a procedure for reporting CoC Inputs and Outputs of Eligible Scrap information to ASI according to the CoC Standard. As the Audit was the Initial Certification Audit, the Entity will report its 2024 data to the ASI Secretariat in the next calendar year. |
| 1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material) | Conformance | The Entity has established a procedure for reporting the Inflows and Outflows of Non-CoC Material information to ASI according to the CoC Standard. As the Audit was the Initial Certification Audit, the Entity will report its 2024 data to the ASI Secretariat in the next calendar year. |
| 1.7d Reporting to ASI (Positive Balance carried over) | Conformance | The Entity has established a procedure for reporting its Positive Balance information to ASI according to the CoC Standard. As the Audit was the Initial Certification Audit, the Entity will report its 2024 data to the ASI Secretariat in the next calendar year. |
| 1.7e Reporting to ASI (Positive Balance used) | Conformance | The Entity has established a procedure for reporting its used Positive Balance information to ASI according to the CoC Standard. As the Audit was the Initial Certification Audit, the Entity will report its 2024 data to the ASI Secretariat in the next calendar year. |

| CRITERION | RATING | COMMENT |
|--|-------------|--|
| 1.7f Reporting to ASI (Internal Overdraw drawn down) | Conformance | The Entity has established a procedure for reporting its drawn down Internal Overdraw information to ASI according to the CoC Standard. As the Audit was the Initial Certification Audit, the Entity will report its 2024 data to the ASI Secretariat in the next calendar year. |
| 1.7g Reporting to ASI (Intra-Entity Flows) | Conformance | The Entity has established a procedure for reporting Intra-Entity Flows information to ASI according to the CoC Standard. As the Audit was the Initial Certification Audit, the Entity will report its 2024 data to the ASI Secretariat in the next calendar year. |

2. OUTSOURCING CONTRACTORS

| | | |
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| 2.1 Certification Scope | Not Applicable | This Criterion is not applicable to the Entity. However, the Entity has implemented a CoC Outsourcing Contractor Management Procedure, which stipulates that an Outsourcing Contractor without CoC Certification that takes Custody of the Entity's CoC Material for further processing, treatment or manufacturing shall be identified in the Entity's CoC Certification Scope. |
| 2.2a Control of CoC Material (Legal ownership or control) | Not Applicable | This Criterion is not applicable to the Entity. However, the Entity has a CoC Outsourcing Contractor Management Procedure in place, which stipulates that the Entity should have legal ownership or Control of all CoC Material used by Outsourcing Contractors through an outsourcing agreement. The outsourcing contract terms prohibit the contractor from subcontracting the received CoC materials to other contractors. |
| 2.2b Control of CoC Material (No further outsourcing) | Not Applicable | This Criterion is not applicable to the Entity. However, the Entity has a CoC Outsourcing Contractor Management Procedure in place, which stipulates that the Entity should have legal ownership or Control of all CoC Material used by Outsourcing Contractors through an outsourcing agreement. The outsourcing contract terms prohibit the contractor from subcontracting the received CoC materials to other contractors. The Entity has established a verification mechanism to ensure that no CoC Material is transferred from the contractor to other Entities and the CoC Material handled is 100% returned to the Entity. |
| 2.2c Control of CoC Material (Risk assessment) | Not Applicable | This Criterion is not applicable to the Entity. However, the Entity has established CoC Outsourcing Contractor Management Procedures, which stipulate that any Outsourcing Contractor should be audited regularly. |
| 2.3 Information on Quantity of CoC Material Output and Returned | Not Applicable | This Criterion is not applicable to the Entity. However, the Entity has established a CoC Outsourcing Contractor Management Procedures, which stipulate that the Outsourcing Contractor should provide information on the Output Quantity of CoC Material and the Quantity of CoC Material returned to the Entity at the monthly conclusion. |
| 2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor | Not Applicable | This Criterion is not applicable to the Entity. However, the Entity has established CoC Outsourcing Contractor Management Procedures, which stipulate that the Inflow and Outflow of CoC Material Output or returned by the Outsourcing Contractor and the Quantity of CoC Material provided to the Outsourcing Contractor should be verified for consistency and recorded in the Material Accounting System MES. No ASI Aluminium has been handled by date. |

| CRITERION | RATING | COMMENT |
|---|----------------|---|
| 2.5 Error (Outsourcing Contractor) | Not Applicable | This Criterion is not applicable to the Entity. However, the Entity has established a CoC Outsourcing Contractor Management Procedures, which stipulate that the Entity and the Outsourcing Contractor shall document the error and the agreed steps taken to correct it and implement actions to avoid a recurrence in case of an error discovered after CoC Material shipping. No ASI Aluminium has been handled by date. |
| 3. PRIMARY ALUMINIUM: CRITERION FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM | | |
| 3.1a ASI Bauxite (CoC Certification Scope) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 3.1b ASI Bauxite (Performance Standard) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 3.1c ASI Bauxite (Bauxite sourcing) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 3.2a ASI Alumina (CoC Certification Scope) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 3.2b ASI Alumina (Performance Standard) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 3.2c ASI Alumina (Bauxite sourcing) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 3.3a ASI Aluminium (CoC Certification Scope) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 3.3b ASI Aluminium (Performance Standard) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 3.3c ASI Aluminium (Alumina sourcing) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 4. RECYCLED ALUMINIUM: CRITERION FOR ELIGIBLE SCRAP | | |
| 4.1a Recycled Aluminium (CoC Certification Scope) | Conformance | The Entity has implemented systems to ensure the receipt and production of ASI Aluminium. ASI Aluminium is produced only by the Facility within the Entity's CoC Certification Scope. |
| 4.1b Recycled Aluminium (Performance Standard) | Conformance | The Entity is certified against the ASI Performance Standard, Certificate 339. |
| 4.2a Eligible Scrap (Pre-Consumer) | Not Applicable | This Criterion is not applicable to the Entity, as it has not received Pre-Consumer Scrap to date. Regardless, the Entity has established an ASI CoC Recycled Aluminium Management Procedure, stipulating judgement criteria and a management program for Eligible Scrap and its suppliers. |

| CRITERION | RATING | COMMENT |
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| 4.2b Eligible Scrap (Post-Consumer) | Not Applicable | This Criterion is not applicable to the Entity, as it has not received Post-Consumer Scrap to date. Regardless, the Entity has established an ASI CoC Recycled Aluminium Management Procedure, stipulating the management program of Recycled Aluminium and its suppliers. If the Scrap is Post-Consumer in origin, the supplier will be subject to supplier Due Diligence. The Entity has established a Material Accounting System in its Manufacture Execution System (MES) and raw materials cannot be considered Aluminium Scrap. |
| 4.2c Eligible Scrap (Dross) | Not Applicable | This Criterion is not applicable to the Entity, as it has not purchased any Aluminium-containing wastes to date. Regardless, the Entity has established an ASI CoC Recycled Aluminium Management Procedure, stipulating the management program of Recycled Aluminium and its supplier. |
| 4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers) | Not Applicable | This Criterion is not applicable to the Entity, as it has no direct supplier of Recyclable Scrap Material. Regardless, the Entity has established a Document and Record Management Procedure for all processes, including procurement and supplier management. All suppliers should be registered in the Qualified Supplier List. |
| 4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions) | Not Applicable | This Criterion is not applicable to the Entity, as it has no direct supplier of Recyclable Scrap Material. Regardless, the Entity has established a Document and Record Management Procedure for all processes, including procurement and supplier management. All suppliers should be registered in the Qualified Supplier List. |
| 5. CASTHOUSES: CRITERION FOR ASI ALUMINIUM | | |
| 5.1a ASI Aluminium (CoC Certification Scope) | Conformance | The Entity has one Casthouse on site, which is included in this CoC Certification Scope. Products from this Casthouse can be traced in the Entity's MES. |
| 5.1b ASI Aluminium (Performance Standard) | Conformance | The Entity is Certified against the ASI Performance Standard, Certificate 339. |
| 5.1c ASI Aluminium (Aluminium sourcing) | Conformance | The Entity has stipulated that suppliers must be surveyed before purchasing Aluminium raw materials. The Entity verifies, investigates and reviews its suppliers prior to purchasing. |
| 5.2 Unique Identification | Conformance | The Entity has established a Product Traceability Management Procedure, which defines the requirements for the serial coding for each Product batch. |
| 6. POST-CASTHOUSE: CRITERION FOR ASI ALUMINIUM | | |
| 6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope) | Conformance | The Entity has established procedures and systems to control its production process and ensure all ASI Aluminium produced from its Facility that is included in the Entity's CoC Certificate Scope, can be identified. |
| 6.1b Post-Casthouse ASI Aluminium (Performance Standard) | Conformance | The Entity is Certified against the ASI Performance Standard, Certificate 339. |

| CRITERION | RATING | COMMENT |
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| 6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing) | Not Applicable | This Criterion is not applicable to the Entity, as it sources all ASI Aluminium from its own remelting process and casting stoves within the CoC Certification Scope and does not source from other CoC Certified Entities or Traders. |
| 7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL | | |
| 7.1a Responsible Sourcing Policy (Anti-corruption) | Conformance | The Entity has publicly disclosed its Responsible Sourcing Policy, which addresses Anti-Corruption and communicates the Policy to its suppliers. |
| 7.1b Responsible Sourcing Policy (Responsible sourcing) | Conformance | The Entity has publicly disclosed its Responsible Sourcing Policy and communicated the Policy to its suppliers. |
| 7.1c Responsible Sourcing Policy (Human rights due diligence) | Conformance | The Entity has publicly disclosed its Responsible Sourcing Policy, which addresses Human Rights Due Diligence and communicates the Policy to its suppliers. |
| 7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas) | Conformance | The Entity has publicly disclosed its Responsible Sourcing Policy, which addresses Conflict-Affected and High-Risk Areas and communicates the Policy to its suppliers. |
| 7.2 Risk Assessment and Mitigation | Conformance | The Entity has established a Supplier Investigation Procedure to assess the non-compliance risks of suppliers in terms of quality, environment, Occupational Health and Safety, and social responsibility. If non-compliance is found, a rectification order is issued to the supplier, and the correction effect will be tracked. Upon reviewing the 2023 annual organisational supplier investigation records, the organisation found no adverse effects on suppliers regarding the environment, society, and governance. |
| 7.3 Complaints Resolution Mechanism | Conformance | The Entity has established a Complaints Resolution Mechanism for employees, suppliers and other external parties, and outlines the process to submit complaints, either through email (chengxx@djmillison.com) or phone, on their website: http://www.djmillison.com/Uploadfiles/Files/2023-8-30/20238301110134041.pdf |
| 8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM | | |
| 8.1 Material Accounting System | Minor Non-Conformance | The Entity has established a Mass Balance System CoC Materials and ASI Aluminium Management Procedure and implemented its Manufacture Execution System (MES) for the Material Accounting System that records the Input Quantity and Output Quantity of Aluminium material by mass. No CoC Material has been traded by the Entity to date. The Entity has established a manual ledger for CoC Material input and output. However, its MES system for accounting materials does not include CoC Material Input and Output. |
| 8.2 Material Accounting Period | Conformance | The Entity's MES has been set to have a Material Accounting Period at the end of every quarter. |

| CRITERION | RATING | COMMENT |
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| 8.3 Input and Inflow Quantities | Conformance | The Entity has established a procedure that defines the process to record the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow in each Material Accounting Period. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material is based on an assessment of Aluminium content. |
| 8.4 Output Quantities of CoC Material | Conformance | The Entity has established a Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES, as well as the company's Statistical Management System and Methods of Calculating Statistical Indicators, to manage Inputs and Outputs. |
| 8.5 Indivisibility of CoC Material | Conformance | The Entity has established a Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES to define that the Output Quantity of CoC Material, which may be a subset of total production, shall be designated as 100% CoC Material. |
| 8.6 Output Quantity of Eligible Scrap | Conformance | The Entity has established a Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES to define that If the Entity generates Scrap and wishes to designate the relevant proportion as Eligible Scrap, the Entity shall, for the given Material Accounting Period, use the same percentage share as for its Output of ASI Aluminium. |
| 8.7 Consistency Between Input Percentage and Total Output | Conformance | The Entity has established a Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES to ensure the total CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total input of CoC Material and/or Eligible Scrap over the Material Accounting Period. |
| 8.8a Internal Overdraw (Not exceed 20%) | Conformance | The Entity has established a Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES to define that the Internal Overdraw shall not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period. To date, no CoC Material has been traded by the Entity. |
| 8.8b Internal Overdraw (Not exceed force majeure situation) | Conformance | The Entity has established the Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES to define that an Internal Overdraw carried over to the subsequent Material Accounting Period (next calendar year), shall not exceed the amount of CoC Material affected by the Force Majeure situation. To date, no CoC Material has been traded by the Entity. |
| 8.8c Internal Overdraw (Made up within subsequent Material Accounting Period) | Conformance | The Entity has established the Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES to define that the Internal Overdraw shall be made up within the subsequent Material Accounting Period. To date, no CoC Material has been traded by the Entity. |
| 8.9a Positive Balance (Carry over) | Conformance | The Entity has established the Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES to define that a Positive Balance of CoC Material at the end of the Material Accounting Period may be carried over to the subsequent Material Accounting Period, and that the MES must clearly identify any carry over of a |

| CRITERION | RATING | COMMENT |
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| | | Positive Balance. To date, no CoC Material has been traded by the Entity. |
| 8.9b Positive Balance (Expiry) | Conformance | The Entity has established Mass Balance System CoC Materials and ASI Aluminium Management Procedure and MES to define that a Positive Balance of CoC Material at the end of the Material Accounting Period may be carried over to the subsequent Material Accounting Period, and that this Positive Balance shall expire at the end of that Period if not drawn down. To date, no CoC Material has been traded by the Entity. |
| 9. ISSUING COC DOCUMENTS | | |
| 9.1 CoC Document | Conformance | The Entity has established a CoC Document Management Procedure stipulating that a CoC Document should accompany each shipment of CoC Material dispatched to other CoC Certified Entities. To date, no CoC Material has been traded by the Entity. |
| 9.2a CoC Document Content (Date of issue) | Conformance | The Entity's CoC Document template includes an issue date. To date, no CoC Material has been traded by the Entity. |
| 9.2b CoC Document Content (Reference number) | Conformance | The Entity's CoC Document template includes a unique reference number. To date, no CoC Material has been traded by the Entity. |
| 9.2c CoC Document Content (Issuing Entity) | Conformance | The Entity's CoC Document template includes the Entity's identity, address, and CoC Certification number. To date, no CoC Material has been traded by the Entity. |
| 9.2d CoC Document Content (Receiving customer) | Conformance | The Entity's CoC Document template includes the identity and address of the customer receiving the CoC Material. If it is another CoC Certified Entity, the CoC Document also includes its CoC Certification number. To date, no CoC Material has been traded by the Entity. |
| 9.2e CoC Document Content (Responsible employee) | Conformance | The Entity has established a CoC Document Management Procedure (defining that the CoC Document should include a signature for the responsible employee of the Entity who can verify the information in it. To date, no CoC Material has been traded by the Entity. |
| 9.2f CoC Document Content (Conformance statement) | Conformance | The Entity's CoC Document template includes a statement confirming that "The information provided in the CoC Document is in Conformance with the ASI CoC Standard To date, no CoC Material has been traded by the Entity". |
| 9.2g CoC Document Content (Type of CoC Material) | Conformance | The Entity's CoC Document template includes the type of CoC Material in the shipment. To date, no CoC Material has been traded by the Entity. |
| 9.2h CoC Document Content (Mass of CoC Material) | Conformance | The Entity's CoC Document template includes the mass of CoC Material in the shipment. To date, no CoC Material has been traded by the Entity. |

| CRITERION | RATING | COMMENT |
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| 9.2i CoC Document Content (Mass of total material) | Conformance | The Entity's CoC Document template includes the mass of total material in the shipment. To date, no CoC Material has been traded by the Entity. |
| 9.3a Sustainability Data (optional) - Carbon footprint | Conformance | The Entity's CoC Document template has an option to include Sustainability Data such as the Product carbon footprint. A simulation of the Entity's system to issue CoC Documents, performed during the Audit, confirmed the inclusion of carbon footprint data for one of its Products. |
| 9.3b Sustainability Data (optional) - Origin information | Not Applicable | This Criterion is not applicable to the Entity, as it has not yet traded any CoC Material and therefore has not issued a CoC Document with the inclusion of Sustainability Data. |
| 9.3c Sustainability Data (optional) - Recycled content | Not Applicable | This Criterion is not applicable to the Entity, as it has not yet traded any CoC Material and therefore has not issued a CoC Document with the inclusion of Sustainability Data. |
| 9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status | Conformance | The Entity's CoC Document template includes the Entity's ASI Performance Standard Certification status. To date, no CoC Material has been traded by the Entity. |
| 9.4 Supplementary Information (optional) - Objective evidence | Not Applicable | This Criterion is not applicable to the Entity, as it has not yet traded any CoC Material and, therefore, has not issued a CoC Document. |
| 9.5 Verification of Information | Conformance | The Entity has established a response mechanism to respond to requests for verification of information in CoC Documents issued by the Entity. The Entity has appointed a responsible employee for this task. |
| 9.6 Error (Shipping) | Conformance | The Entity has established a procedure defining the process to address an error discovered after a CoC Material shipment. Any errors found by the Entity should be promptly reported to the receiving business and remedied by both parties agreeing to the steps taken to correct them. To date, no CoC Material has been traded by the Entity. |

10. RECEIVING COC DOCUMENTS

| | | |
|---|-------------|--|
| 10.1 Verification of CoC Documents | Conformance | The Entity has established a procedure for verifying all required information in received CoC Documents. |
| 10.2 Verification of Consistency Between CoC Documents and CoC Material | Conformance | The Entity has established a procedure where the Production Management Officer should verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap, before recording information in their Material Accounting System. To date, no CoC Material has been traded by the Entity. |
| 10.3 Verification of Supplier's ASI CoC Certification | Conformance | The Entity has established a procedure for the Production Management Officer to check the ASI website every quarter to verify the validity and scope of the supplier's ASI CoC Certification and look for any changes that might affect the status of the supplied CoC Material or Eligible Scrap. |

| CRITERION | RATING | COMMENT |
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| 10.4 Error (Reception) | Conformance | The Entity has established a procedure for correcting errors discovered after CoC Material has been received. The Entity and the supplying party shall document the error and the agreed steps to be implemented to correct the error and avoid a recurrence. To date, no CoC Material has been traded by the Entity. |

11. CLAIMS AND COMMUNICATIONS

| | | |
|---|-------------|---|
| 11.1a Claims and Communications (ASI Claims Guide) | Conformance | The Entity has established the ASI CoC Claim and Communication Management Procedure, which defines the process to ensure claims and communication are made in a manner and form consistent with the ASI Claims Guide. |
| 11.1b Claims and Communications (Verifiable evidence) | Conformance | The Entity has established the ASI CoC Claim and Communication Management Procedure, which defines the process to ensure claims and communications are made in a manner and form consistent with the ASI Claims Guide and there is verifiable evidence to support the claims and/or representations made. The Entity has not made any claims or representations about CoC Material. |
| 11.1c Claims and Communications (Employee training) | Conformance | The Entity has provided relevant employees with training regarding claims and representations and to properly understand and communicate the claims and representations. |

ASI LIMITATION OF LIABILITY DISCLAIMER

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DOCUMENT CONTROL AND VERSION HISTORY

| REVISION | DATE | NOTES |
|----------|------------------|--|
| 0 | 2 September 2024 | Initial Certification Audit – Full Certification |