

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Anhui Zhongji Battery Foil Science & Technology Co., Ltd.

CERTIFICATE NUMBER

130

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE SERVICES  
UK LTD.

DATE OF ISSUE

11 APRIL 2024

DATE OF EXPIRY

10 APRIL 2027

CERTIFIED SINCE

19 APRIL 2021

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'Jha' followed by a long horizontal line.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto: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](http://www.aluminium-stewardship.org)*

CERTIFICATION SCOPE

Anhui Zhongji Battery Foil Science &  
Technology Co., Ltd. located at 88  
Yinghua West Road, Suixi Economic  
Development Zone, Anhui Province,  
China.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Jiangsu Zhongji Lamination Materials Co., Ltd.
ENTITY NAME	Anhui Zhongji Battery Foil Science & Technology Co., Ltd.
CERTIFICATION SCOPE	Anhui Zhongji Battery Foil Science & Technology Co., Ltd. located at 88 Yinghua West Road, Suixi Economic Development Zone, Anhui Province, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Post-Casthouse</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Chain of Custody Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (29 – 30 March 2021)</li><li>• Surveillance Audit (18 August 2022)</li><li>• Re-Certification and Scope Change Audit (5 – 6 March 2024)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 29 – 30 March 2021 (Initial Certification Audit)</li><li>• 18 August 2022 (Surveillance Audit)</li><li>• 5 – 6 March 2024 (Re-Certification and Scope Change Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 6 April 2021 (Initial Certification Audit)</li><li>• 9 September 2022 (Surveillance Audit)</li><li>• 19 March 2024 (Re-Certification and Scope Change Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (29 – 30 March 2021)</u></p> <p>Anhui Zhongji Battery Foil Science &amp; Technology Co., Ltd. is located at No. 88, Yinghua West Road, Suixi Economic Development Zone, Anhui Province, China. The main product is High Precision Aluminium Strip and the main production processes include remelting and casting, cold rolling, and finishing.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Casthouses</li><li>• Post-Casthouse</li></ul> <p>All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Surveillance Audit (18 August 2022)</u></p> <p>Anhui Zhongji Battery Foil Science &amp; Technology Co., Ltd. is located at No. 88, Yinghua West Road, Suixi Economic Development Zone, Anhui Province, China. The main product is High Precision Aluminium Strip and the main production processes include remelting and casting, cold rolling, and finishing.</p> <p>Supply chain activities included in the audit scope:</p>

- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

Re-Certification and Scope Change Audit (5 – 6 March 2024)

The audit scope includes Anhui Zhongji Battery Foil Science & Technology Co., Ltd. for the production and sales of high-end Aluminium Foil products.

Supply chain activities included in the audit scope:

- Post-Casthouse

All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.

AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"> <li><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.</li> <li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li> <li><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.</li> <li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li> </ul>
CERTIFICATION PERIOD	11 April 2024 – 10 April 2027
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	10 April 2027
CERTIFICATE NUMBER	130



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

The Entity is located in Suixi Economic Development Zone, Anhui Province, China, with a total investment of US\$653 and an area of 0.41 square kilometres. It was acquired in 2017 by Jiangsu Zhongji New Energy Technology Group Co., Ltd., a subsidiary of Wanshun Group, and renamed Anhui Zhongji Battery Foil Science & Technology Co., Ltd. in 2021.

The Entity has the entire Aluminium Foil production technology and equipment including Foil rolling and precision cutting processes. The main products are Aluminium battery foils.

## 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
<b>SYSTEMS</b>	Medium
<b>RISKS</b>	Medium
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity is an active ASI Member committed to complying with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category. <a href="https://aluminium-stewardship.org/about-asi/members/Jiangsu-Zhongji-Lamination-Materials-Co---Ltd">https://aluminium-stewardship.org/about-asi/members/Jiangsu-Zhongji-Lamination-Materials-Co---Ltd</a>
1.2 CoC Management System	Conformance	The Entity has established Policies, systems, procedures and processes that comply with the ASI Chain of Custody Standard. The Management System can manage ASI Chain of Custody (CoC) Material. The Entity has an integrated Management System underpinned by ISO9001. The Entity's ISO9001 certificate is valid for the certification period.
1.3 CoC Management System Monitoring	Minor Non-Conformance	The Entity has established mechanisms for the periodic review of the Management System, in line with its ASI Management Manual. It has also established a process to periodically review the Management System to assess the effectiveness of ASI CoC management and address potential areas of Non-Conformance/improvement.  However, the Entity failed to conduct a proper assessment in 2023 of how the ASI Chain of Custody Standard V3 would impact the Management System or necessitate revisions to relevant control processes.
1.4 Management Representative	Conformance	A member of senior management has nominated the Vice General Manager as the ASI Management Representative to have overall responsibility for the implementation of ASI CoC Management System and the conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established and implemented communications and training measures that make relevant personnel aware of and competent in their responsibilities under the ASI Chain of Custody Standard.
1.6 Records Management	Conformance	The Entity has established a record management procedure to maintain records covering all applicable requirements and the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	On June 25, 2023, the Entity reported to the ASI Secretariat the Input and Output status of its CoC Materials for the year 2022. The report indicated no CoC Materials Input and Output in 2022.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	Due to process constraints, the Entity does not utilise any Scrap Materials in the production process. On June 25, 2023, the Entity reported to the ASI Secretariat the Output status of its Eligible Scrap for the year 2022, the report indicates there are no Eligible Scrap Outputs.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	According to the Chain of Custody Management Manual, the Entity will report the necessary information, including the Inflow and Outflow Quantities of Non-CoC Materials to/from the Entity during the previous calendar year, to the ASI Secretariat within six months after the end of

CRITERION	RATING	COMMENT
		each calendar year, typically in June. In the 2023 Report, the Entity reported to the ASI Secretariat the Inflow and Outflow status of its Non-CoC Materials for the year 2022.
1.7d Reporting to ASI (Positive Balance carried over)	Not Applicable	This Criterion is not applicable, as the Entity did not carry over a Positive Balance in 2022, as indicated in the 2023 report to the ASI Secretariat.
1.7e Reporting to ASI (Positive Balance used)	Not Applicable	This Criterion is not applicable, as the Entity did not draw down a Positive Balance in 2022, as indicated in the 2023 report to the ASI Secretariat.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Not Applicable	This Criterion is not applicable, as the Entity did not draw down an Internal Overdraw in 2022, as indicated in the 2023 report to the ASI Secretariat.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	This Criterion is not applicable, as there were no Intra-Entity flows of CoC Material in 2022, as indicated in the 2023 report to the ASI Secretariat.
<b>2. OUTSOURCING CONTRACTORS</b>		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing. The Entity commits to ensuring legal ownership or control of all CoC Material used by Outsourcing Contractors in the future.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing. The Entity commits that any Outsourced Contractor will not further outsource the processing, treatment, or manufacturing of CoC Material within the supply chain.
2.2c Control of CoC Material (Risk Assessment)	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing. The Entity commits to assessing the risk of potential Non-Conformance with the ASI Chain of Custody Standard for Outsourced Contractors handling CoC Material in the future.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable, as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.

CRITERION	RATING	COMMENT
<b>3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM</b>		
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.
<b>4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP</b>		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Financial transactions)		
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 Unique Identification	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established systems to define and ensure the production of ASI Aluminium only comes from Facilities within the Entity's CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has established a system to ensure that it produces ASI Aluminium only from the Entity's ASI Performance Standard Certified Facilities.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established systems to ensure the ASI Aluminium is purchased only from the eligible Entities/Facilities directly or indirectly via a metals Trader and warehouse. At the time of the Audit, there are no examples of sourcing and transfer of CoC Material.
<b>7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL</b>		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has implemented a Responsible Sourcing Policy that covers Anti-Corruption. All identified major next-tier suppliers are informed of the Policy and must sign a letter of commitment for Business Ethics. The Responsible Sourcing Policy is available at: <a href="http://cn.ahzjalufoil.com/upload/20231020114123.pdf">http://cn.ahzjalufoil.com/upload/20231020114123.pdf</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented a Responsible Purchasing Policy which is communicated to all major next-tier suppliers. They are required to sign a letter of commitment for Responsible Purchasing. The Responsible Purchasing Policy is available at: <a href="http://cn.ahzjalufoil.com/upload/20231020114123.pdf">http://cn.ahzjalufoil.com/upload/20231020114123.pdf</a>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented a Responsible Purchasing Policy that covers Human Rights Due Diligence which is communicated to all identified major next-tier suppliers. They are required to sign a letter of commitment to respect Human Rights. The Responsible Purchasing Policy is published at: <a href="http://cn.ahzjalufoil.com/upload/20231020114123.pdf">http://cn.ahzjalufoil.com/upload/20231020114123.pdf</a>



CRITERION	RATING	COMMENT
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a Responsible Purchasing Policy that covers Conflict-Affected and High-Risk Areas (CAHRAs). The Policy is communicated to all identified major next-tier suppliers. They are required to sign a letter of commitment for non-conflict-minerals. A training course is provided to employees. The Responsible Purchasing Policy is available at: <a href="http://cn.ahzjalufoil.com/upload/20231020114123.pdf">http://cn.ahzjalufoil.com/upload/20231020114123.pdf</a>
7.2 Risk Assessment and Mitigation	Conformance	The Entity has undertaken risk assessments of its suppliers and completes risk mitigation efforts where relevant. The Entity also conducts second-party audits of its major next-tier suppliers.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has implemented a Complaints Mechanism and a Whistleblower/Complaint channel to enable employees and external Stakeholders to report anonymously potential misconduct. A telephone and email address are available to all Stakeholders. The information is available in the Responsible Sourcing Policy: <a href="http://cn.ahzjalufoil.com/upload/20231020114123.pdf">http://cn.ahzjalufoil.com/upload/20231020114123.pdf</a>

#### 8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity has implemented an ASI CoC Management Manual and established a Material Accounting System that can record the Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass.
8.2 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months from 1 January to 31 December.
8.3 Input and Inflow Quantities	Conformance	The Entity will record the Quantities of each CoC Material Input and the Quantities of Non-CoC Material Inflow to the Certification Scope. There is no Eligible Scrap or Recyclable Scrap Material used in the production process. At the time of the Audit, there is no ASI Material available in the Entity's supply chain.
8.4 Output Quantities of CoC Material	Conformance	In the Entity's Material Accounting System, the available Quantities of CoC Material for Output will be determined by the Input Quantities for each CoC Material proportional to the total Inflows of CoC and Non-CoC Material by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity's Material Accounting System procedures and processes designate the Output Quantity as 100% CoC Material. At the time of the Audit, there were no examples of sourcing and transfer of CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's ASI CoC Management Manual and simulation cases demonstrate each transfer of eligible Pre-Consumer Scrap is accompanied by a CoC Document. The calculation of the percentage follows the formula defined in the ASI Chain of Custody Standard.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity would designate a relevant proportion of scraps generated in the production processes as Eligible Scrap using the same percentage share as for its Output of CoC Material.

CRITERION	RATING	COMMENT
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has defined in its Material Accounting System that an Internal Overdraw does not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a process in the Material Accounting System to control an Internal Overdraw under a Force Majeure situation.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's Chain of Custody Management Manual has defined that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a process in the Material Accounting System to control a Positive Balance (carry over).
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a process in the Material Accounting System to control a Positive Balance (expiry).
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes a reference number: MAX+ CoC + date code + lot number + version number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes information about the issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the details of the receiving customer.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the details of the responsible employee.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the type of CoC Material.

CRITERION	RATING	COMMENT
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the mass of CoC Material.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the mass of total Material.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity will not provide the Sustainability Data by default. If a customer raises the request, the Entity commits to share the Carbon Footprint information with the customer.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity will not provide the Sustainability Data by default. If a customer raises the request, the Entity commits to share the origin information with the customer.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity will not provide the Sustainability Data by default. If a customer raises the request, the Entity commits to sharing the sustainability information with the customer, including information on the recycled content
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes its ASI Certification Status.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has established, implemented, and maintained a Management System for Greenhouse Gas (GHG) Emissions calculations. The information included in the CoC Documents is based on the Outputs of the ASI Performance System Management System.
9.5 Verification of Information	Conformance	The Entity has defined the responsibilities and the process within the ASI CoC Management Manual to respond to requests for verification of information in CoC Documents issued.
9.6 Error (Shipping)	Conformance	As part of its Quality Management System, the Entity has implemented a process within the ASI CoC Management Manual to record errors, analyse the root cause, and take the associated corrective actions to prevent their reoccurrence.

## 10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has implemented a process within the ASI CoC Management Manual to verify the required information in the received CoC Documents.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has implemented the process to verify the required information in the received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording the information in the Material Accounting System.

CRITERION	RATING	COMMENT
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has implemented and developed a process to verify the supplier's CoC Certification Status.
10.4 Error (Reception)	Conformance	The Entity has implemented a process to record errors, analyse the root causes, and take the associated Corrective Actions to prevent their reoccurrence with suppliers.

## 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's ASI CoC Management Manual defines all claims and communications will follow the ASI Claims Guide including communication with the ASI Secretariat, with defined roles and responsibilities. At the time of the Audit, there were no examples of effective system implementation, as no ASI CoC Material is present in the Entity's supply chain.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has assigned roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided relevant training courses on claims and communications to relevant employees.

### ASI LIMITATION OF LIABILITY DISCLAIMER

Organisations that make ASI-related claims are each responsible for their own compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that compliance with an ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI will result in compliance with any Applicable law, or will avoid any Breach from occurring.

### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	19 April 2021	Initial Certification Audit – Full Certification
1	21 June 2022	Revised to reflect updated Entity Name from Anhui Maximum Aluminium Industries Co., Ltd.
2	7 October 2022	Surveillance Audit – Full Certification
3	11 April 2024	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply ASI CoC Standard V2
4	15 January 2025	Extension to the Next Audit Type and Due Date, consistent with ASI's voluntary option for CoC Standard Certification extensions