

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# ZHONG YI FENG JINYI (SUZHOU) TECHNOLOGY CO., LTD.

CERTIFICATE NUMBER

462

ASI STANDARD

CHAIN OF CUSTODY  
STANDARD  
(V2 2022)

DATE OF ISSUE

4 AUGUST 2025

CERTIFICATION LEVEL

FULL  
CERTIFICATION

DATE OF EXPIRY

3 AUGUST 2028

ASI ACCREDITED  
AUDITING FIRM

BUREAU VERITAS  
CERTIFICATION

CERTIFIED SINCE

4 AUGUST 2025

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.' followed by a long horizontal stroke.

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

The manufacture of Aluminium  
alloy profiles at the ZHONG YI FENG  
JINYI (SUZHOU) TECHNOLOGY CO.,  
LTD. facility in Xiangcheng District,  
Suzhou, Jiangsu Province, China.

# AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

|                               |  |
|-------------------------------|--|
| MEMBER NAME                   | ZHONG YI FENG JINYI (SUZHOU) TECHNOLOGY CO., LTD.  |
| ENTITY NAME                   | ZHONG YI FENG JINYI (SUZHOU) TECHNOLOGY CO., LTD.  |
| CERTIFICATION SCOPE           | The manufacture of Aluminium alloy profiles at the ZHONG YI FENG JINYI (SUZHOU) TECHNOLOGY CO., LTD. facility in Xiangcheng District, Suzhou, Jiangsu Province, China.   |
| SUPPLY CHAIN ACTIVITIES       | <ul style="list-style-type: none"><li>Post-Casthouse</li></ul>   |
| ASI STANDARD                  | Chain of Custody Standard V2   |
| AUDIT TYPE                    | <ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>  |
| AUDIT FIRM                    | Bureau Veritas Certification   |
| AUDIT DATE                    | <ul style="list-style-type: none"><li>17 – 18 January 2025</li></ul>   |
| AUDIT REPORT SUBMISSION       | <ul style="list-style-type: none"><li>13 March 2025</li></ul>  |
| AUDIT SCOPE                   | <p>The Audit Scope included the manufacture of Aluminium alloy profiles at the ZHONG YI FENG JINYI (SUZHOU) TECHNOLOGY CO., LTD. facility in Xiangcheng District, Suzhou, Jiangsu Province, China.</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Post-Casthouse</li></ul> <p>All relevant Criteria in the ASI Chain of Custody 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"><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          | 4 August 2025 – 3 August 2028  |

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|                 |                    |
|-----------------|--------------------|
| NEXT AUDIT TYPE | Surveillance Audit |
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| NEXT AUDIT DUE DATE | 3 February 2027 |
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| CERTIFICATE NUMBER | 462 |
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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.

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## ENTITY OVERVIEW

ZHONG YI FENG JINYI (SUZHOU) TECHNOLOGY CO., LTD. ('the Entity') is a wholly owned subsidiary of Zhongyi Fengjin Holding Group, formerly known as Suzhou Mingde Aluminum Industry. Founded in 1993, the Entity is primarily engaged in the development, production and sale of diversified high-quality industrial Aluminium Products. The Entity has capabilities in Aluminium rod casting, mould manufacturing, precision extrusion, intelligent processing, ultra-precision forging, cold extrusion forming, oxidation electrophoresis and other whole of industry supply chain services. The Entity's Products are widely used in energy storage electronics, lightweight automotives, mechanical equipment, industrial automation, medical equipment, aerospace, rail transit and other fields.

The Entity's current annual output is approximately seven million auto parts sets, and approximately three million sets of photovoltaic, wind and other new energy parts. The Entity's annual output value is approximately 250 million yuan. The Entity employs approximately 210 Workers.

The Entity maintains a Management System certified to ISO9001, IATF16949, ISO14001, ISO45001 and ISO50001 standards.

## 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.

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

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

## FINDINGS

| CRITERION  | RATING                | COMMENT  |
|--|-----------------------|--|
| 1. MANAGEMENT SYSTEM AND RESPONSIBILITIES                  |                       |  |
| 1.1 ASI Membership   | Conformance           | The Entity has been an ASI Member since June 2024 in the Production and Transformation class.  |
| 1.2 CoC Management System                                  | Minor Non-Conformance | <p>The Entity has established policies, systems, procedures, and processes that comply with the ASI Chain of Custody (CoC) requirements relating to Management Systems. The Entity has an Integrated Management System underpinned by ISO 9001 and addresses all applicable requirements for the handling of CoC Material.</p> <p>However, the Audit identified inconsistencies between documented descriptions of processes in the Management System and the actual production processes of the Entity, specifically between the CX-CoC-009_CoC production and service control program's description of the rolling process and actual practices.</p> |
| 1.3 CoC Management System Monitoring                       | Conformance           | <p>The Entity has established a process to review the Management System at least once every twelve months to assess the effectiveness of CoC Material management and to address potential areas of non-conformance or areas for improvement.</p> <p>This review process was evident in the ASI CoC Management Manual and is managed as part of the Entity's ISO 9001 Certified Quality Management System.</p>  |
| 1.4 Management Representative                              | Conformance           | A Quality Assurance Manager has been nominated by the Entity Chairman as the ASI Management Representative to have overall responsibility for the implementation of the ASI CoC Standard and for conformance with all applicable requirements.   |
| 1.5 Communications and Training                            | Minor Non-Conformance | <p>The Entity has developed and implemented communications and training measures that make relevant personnel aware of, and competent in their responsibilities under the ASI CoC Standard. Adequate training is undertaken.</p> <p>Interviews with management and related staff conducted during the Audit identified that most relevant Workers substantively understand the requirements.</p> <p>The interview results demonstrated however that the relevant personnel were not aware on how to manage Internal Overdraws.</p>   |
| 1.6 Records Management                                     | Conformance           | The Entity has established a Record Management Procedure based on ISO 19001 Management Procedure to maintain records for all applicable requirements of the CoC Standard including the retention requirement of ASI records.   |
| 1.7a Reporting to ASI (Inputs and Outputs of CoC Material) | Conformance           | The Entity has defined relevant procedures in the ASI CoC Management Manual. The Manual demonstrates the reportable information specified in the ASI CoC Standard shall be reported to the ASI Secretariat within three months after the end of each calendar year. Audit interviews demonstrated that Entity management   |

| CRITERION  | RATING         | COMMENT  |
|--|----------------|--|
|  |                | understands these requirements.  |
| 1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)     | Conformance    | The Entity has defined relevant reporting procedures in the ASI CoC Management Manual. The Manual demonstrates the reportable information specified in the ASI CoC Standard shall be reported to the ASI Secretariat within three months after the end of each calendar year. Audit interviews demonstrated that Entity management understands these requirements. |
| 1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material) | Conformance    | The Entity has defined relevant reporting procedures in the ASI CoC Management Manual. The Manual demonstrates the reportable information specified in the ASI CoC Standard shall be reported to the ASI Secretariat within three months after the end of each calendar year. Audit interviews demonstrated that Entity management understands these requirements. |
| 1.7d Reporting to ASI (Positive Balance carried over)            | Conformance    | The Entity has defined relevant reporting procedures in the ASI CoC Management Manual. The Manual demonstrates the reportable information specified in the ASI CoC Standard shall be reported to the ASI Secretariat within three months after the end of each calendar year. Audit interviews demonstrated that Entity management understands these requirements. |
| 1.7e Reporting to ASI (Positive Balance used)                    | Conformance    | The Entity has defined relevant reporting procedures in the ASI CoC Management Manual. The Manual demonstrates the reportable information specified in the ASI CoC Standard shall be reported to the ASI Secretariat within three months after the end of each calendar year. Audit interviews demonstrated that Entity management understands these requirements. |
| 1.7f Reporting to ASI (Internal Overdraw drawn down)             | Conformance    | The Entity has defined relevant reporting procedures in the ASI CoC Management Manual. The Manual demonstrates the reportable information specified in the ASI CoC Standard shall be reported to the ASI Secretariat within three months after the end of each calendar year. Audit interviews demonstrated that Entity management understands these requirements. |
| 1.7g Reporting to ASI (Intra-Entity Flows)                       | Conformance    | The Entity has defined relevant reporting procedures in the ASI CoC Management Manual. The Manual demonstrates the reportable information specified in the ASI CoC Standard shall be reported to the ASI Secretariat within three months after the end of each calendar year. Audit interviews demonstrated that Entity management understands these requirements. |
| <b>2. OUTSOURCING CONTRACTORS</b>                                |                |  |
| 2.1 Certification Scope  | Not Applicable | This Criterion is not applicable to the Entity as it does not engage Outsourcing Contractors..   |
| 2.2a Control of CoC Material (Legal ownership or control)        | Not Applicable | This Criterion is not applicable to the Entity as it does not engage Outsourcing Contractors..   |
| 2.2b Control of CoC Material (No further                         | Not Applicable | This Criterion is not applicable to the Entity as it does not engage Outsourcing Contractors..   |

| CRITERION   | RATING         | COMMENT  |
|---|----------------|--|
| outsourcing)  |                |  |
| 2.2c Control of CoC Material (Risk assessment)  | Not Applicable | This Criterion is not applicable to the Entity as it does not engage Outsourcing Contractors.. |
| 2.3 Information on Quantity of CoC Material Output and Returned                               | Not Applicable | This Criterion is not applicable to the Entity as it does not engage Outsourcing Contractors.. |
| 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 as it does not engage Outsourcing Contractors.. |
| 2.5 Error (Outsourcing Contractor)  | Not Applicable | This Criterion is not applicable to the Entity as it does not engage Outsourcing Contractors.. |
| <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.                          |
| 3.3b 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.                          |
| 3.3a ASI Aluminium (CoC Certification Scope)  | 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   | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                          |

| CRITERION  | RATING         | COMMENT  |
|--|----------------|--|
| (Performance Standard)   |                |  |
| 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 Recyclable Scrap Material (Financial transactions)                 | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.  |
| <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 systems in place to ensure that the production of ASI Aluminium occurs only from Facilities that are within the Entity's CoC Certification Scope. This is evidenced in the CoC Document Control Procedure.                                    |
| 6.1b Post-Casthouse ASI Aluminium (Performance Standard)   | Conformance    | The Entity has a system in place to ensure that they certify against the ASI Performance Standard within two years of joining ASI. The Performance Standard Certification Audit for the Entity was conducted simultaneously to this CoC Certification Audit. |
| 6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)   | Conformance    | The Entity has systems in place to ensure that the ASI Aluminium is purchased only from the eligible ASI Certified Entities directly, or indirectly from Certified Entities via a metals Trader and warehouse.   |
| <b>7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL</b> |                |  |
| 7.1a Responsible Sourcing  | Conformance    | The Entity has established a Responsible Sourcing Policy that  |



| CRITERION  | RATING      | COMMENT   |
|--|-------------|---|
| Policy (Anti-corruption)   |             | addresses anti-Corruption. All major next tier suppliers are informed of the Policy, and suppliers sign Commitment Letters of Responsible Purchasing.   |
| 7.1b Responsible Sourcing Policy (Responsible sourcing)                  | Conformance | The Entity has established a Responsible Procurement Policy. All major next tier suppliers are informed of the Policy, and suppliers sign Commitment Letters of Responsible Purchasing.   |
| 7.1c Responsible Sourcing Policy (Human rights due diligence)            | Conformance | The Entity has established a Responsible Purchasing Policy that addresses Human Rights Due Diligence. All identified major next tier suppliers are informed of the Policy, and suppliers sign Commitment Letters of Responsible Purchasing.   |
| 7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas) | Conformance | The Entity has established a Responsible Sourcing Policy which addresses the Conflict-Affected and High-Risk Areas (CAHRAs). A relevant training course is provided to employees. All identified major next tier suppliers are informed of the Policy, and suppliers sign Commitment Letters of Responsible Purchasing.   |
| 7.2 Risk Assessment and Mitigation                                       | Conformance | <p>The Entity has established a Responsible Sourcing Policy and Supplier Code of Conduct.</p> <p>All suppliers are required to sign the Responsible Sourcing Policy and Code of Conduct and a Due Diligence risk assessment is always completed for new suppliers prior to starting business with the Entity. If a supplier is not compliant with the requirements and repeatedly fails to correct critical findings, contracts will be terminated.</p>   |
| 7.3 Complaints Resolution Mechanism                                      | Conformance | <p>The Entity has established and operates a Stakeholder Complaints, Grievances and Requests Procedure, which has been formulated to publicise the Entity's contact telephone number, email address, suggestion box and other information to stakeholders by means of public board, accepting information inquiries, complaints and appeals from all parties. The Human Resources (HR) Department is responsible for its implementation and to track the requests and complaints of Stakeholders.</p> <p>The Stakeholder Complaints, Grievances and Requests Procedure is available at:<br/> <a href="https://alidocs.dingtalk.com/i/nodes/P7QG4Yx2Jpy73NlwFoIvEaI189dEq3XD?utm_scene=person_space">https://alidocs.dingtalk.com/i/nodes/P7QG4Yx2Jpy73NlwFoIvEaI189dEq3XD?utm_scene=person_space</a> </p> |
| 8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM            |             |   |
| 8.1 Material Accounting System   | Conformance | The Entity established a Material Accounting System that records Input Quantities and Output Quantities of CoC Material and Inflow Quantities and Outflow Quantities of Non-CoC Material by mass.   |
| 8.2 Material Accounting Period   | Conformance | The Material Accounting Period in the Entity's Material Accounting System is defined as twelve months, aligning with the January to December calendar year.   |
| 8.3 Input and Inflow Quantities  | Conformance | The Entity has established a Management System that includes a Material Accounting System that records Input and Inflow Quantities of CoC Material and Non-CoC Material, by mass.   |

| CRITERION   | RATING         | COMMENT  |
|---|----------------|--|
| 8.4 Output Quantities of CoC Material   | Conformance    | The Entity has established a Management System includes a Material Accounting System that records Output Quantities of CoC Material, by mass.  |
| 8.5 Indivisibility of CoC Material  | Conformance    | The Entity ensures the Output Quantity of CoC Material, which may be a part of the total production volume, is designated as 100% CoC Material.  |
| 8.6 Output Quantity of Eligible Scrap   | Not Applicable | This Criterion is not applicable to the Entity, as it will not designate the relevant proportion of their produced Pre-Consumer Scrap from their processing as Eligible Scrap.   |
| 8.7 Consistency Between Input Percentage and Total Output                     | Conformance    | The Entity's Material Accounting System is developed to track information on the inventory balance on a regular basis to ensure input and Output consistency, which conforms to the ASI Chain of Custody Standard requirement.   |
| 8.8a Internal Overdraw (Not exceed 20%)                                       | Conformance    | The Entity's CoC Management Manual defines the principle that Internal Overdraws are not to exceed 20%.  |
| 8.8b Internal Overdraw (Not exceed force majeure situation)                   | Conformance    | The Entity's CoC Management Manual defines the principle that the Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure situation.   |
| 8.8c Internal Overdraw (Made up within subsequent Material Accounting Period) | Conformance    | The Entity's CoC Management Manual defines how the Internal Overdraw is made up within the subsequent Material Accounting Period.  |
| 8.9a Positive Balance (Carry over)  | Conformance    | The Entity has established a Material Accounting System in compliance with the ASI Chain of Custody Standard requirements regarding Positive Balance.  |
| 8.9b Positive Balance (Expiry)  | Conformance    | The Entity establishes a Material Accounting System in compliance with the ASI Chain of Custody Standard requirements. The system assures that any Positive Balance carried over to the subsequent Material Accounting Period will expire at the end of that period if not drawn down. |
| 9. ISSUING CoC DOCUMENTS  |                |  |
| 9.1 CoC Document  | Conformance    | The Entity has a system that issues required CoC Documents for each shipment and transfer, ensuring that these are controlled, issued and stored as per the ASI Chain of Custody Standard requirements.  |
| 9.2a CoC Document Content (Date of issue)                                     | Conformance    | The Entity has established a CoC Document Control Procedure and supporting ASI CoC Document template to follow shipments and transfer of CoC Material. The template includes information on issue date.  |
| 9.2b CoC Document Content (Reference number)                                  | Conformance    | The Entity has established a CoC Document Control Procedure and supporting ASI CoC Document template that includes a reference number for the CoC Document, which is linked to the Entity's Material Accounting System for verification purposes.                                      |

| CRITERION   | RATING         | COMMENT  |
|---|----------------|--|
| 9.2c CoC Document Content (Issuing Entity)                                    | Conformance    | The Entity has established a CoC Document Control Procedure and supporting ASI CoC Document template that includes the identity, address and CoC Certification Number of the Entity issuing the CoC Document.  |
| 9.2d CoC Document Content (Receiving customer)                                | Conformance    | The Entity has established a CoC Document Control Procedure and supporting ASI CoC Document template that includes the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification Number. |
| 9.2e CoC Document Content (Responsible employee)                              | Conformance    | The Entity has established a CoC Document Control Procedure and supporting ASI CoC Document template that includes information on the Entity's responsible employee, who can verify the information in the CoC Document.   |
| 9.2f CoC Document Content (Conformance statement)                             | Conformance    | The Entity has established a CoC Document Control Procedure and supporting ASI CoC Document template that includes a statement confirming that 'The information provided in the CoC Document is in Conformance with the ASI CoC Standard'.                         |
| 9.2g CoC Document Content (Type of CoC Material)                              | Conformance    | The Entity has established a CoC Document Control Procedure and supporting ASI CoC Document template that includes the information on the Type of CoC Material in the shipment.  |
| 9.2h CoC Document Content (Mass of CoC Material)                              | Conformance    | The Entity has established a CoC Document Control Procedure and supporting ASI CoC Document template that includes the information on the Mass of CoC Material in the shipment.  |
| 9.2i CoC Document Content (Mass of total material)                            | Conformance    | The Entity had established a CoC Document Control Procedure and supporting ASI CoC Document template that includes the information on the Mass of total Material in the shipment.  |
| 9.3a Sustainability Data (optional) - Carbon footprint                        | Not Applicable | This Criterion is not applicable to the Entity, as it does not provide Sustainability Data regarding the Carbon footprint in their CoC Document.   |
| 9.3b Sustainability Data (optional) - Origin information                      | Not Applicable | This Criterion is not applicable to the Entity, as it does not provide this information in their CoC Document.   |
| 9.3c Sustainability Data (optional) - Recycled content                        | Not Applicable | This Criterion is not applicable to the Entity, as it does not provide this information in their CoC Document.   |
| 9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status | Not Applicable | This Criterion is not applicable to the Entity, as it does not provide this information in their CoC Document.   |
| 9.4 Supplementary Information (optional) - Objective evidence                 | Not Applicable | This Criterion is not applicable to the Entity, as it does not provide Supplementary Information in their CoC Document.  |
| 9.5 Verification of   | Conformance    | The Entity's Material Accounting System enables it to respond to   |

| CRITERION   | RATING                | COMMENT  |
|---|-----------------------|--|
| Information   | Conformance           | reasonable requests for verification of information in the CoC Documents issued by the Entity.   |
| 9.6 Error (Shipping)  |                       | The Entity's Material Accounting System includes a process for the documentation of any error identified, agreed steps to be taken to correct it, and implements actions to avoid its recurrence.  |
| 10. RECEIVING COC DOCUMENTS   |                       |  |
| 10.1 Verification of CoC Documents                                      | Conformance           | The Entity has procedures and routines to verify that all required information in the received CoC Documents has been included.  |
| 10.2 Verification of Consistency Between CoC Documents and CoC Material | Conformance           | The Entity's Material Accounting System includes a process for the verification of the consistency of received CoC Documents with the accompanying CoC Material before recording information in the Entity's Material Accounting System.   |
| 10.3 Verification of Supplier's ASI CoC Certification                   | Conformance           | The Entity's Material Accounting System and processes verify the validity and scope of the supplier's ASI CoC Certification for any changes that may affect the status of the supplied CoC Material.   |
| 10.4 Error (Reception)  | Conformance           | The Entity's Material Accounting System contains processes to correct any error discovered after the CoC Material has been received and implement actions to avoid a recurrence.   |
| 11. CLAIMS AND COMMUNICATIONS   |                       |  |
| 11.1a Claims and Communications (ASI Claims Guide)                      | Conformance           | The Entity's CoC Claims and Communications Control Procedure defines that all claims and communications shall follow the ASI Claims Guide including communication with the ASI Secretariat, and the relevant roles and responsibilities are defined.   |
| 11.1b Claims and Communications (Verifiable evidence)                   | Conformance           | The Entity has appointed roles and allocated responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide.   |
| 11.1c Claims and Communications (Employee training)                     | Minor Non-Conformance | <p>In its process instruction the Entity defines examples of relevant claims that are consistent with the ASI Claim Guide. The Entity's implementation team has prepared a presentation on the correct communication and claims and has trained all relevant personnel.</p> <p>However, the Audit interviews identified that relevant personnel did not clearly understand the ASI identification types and approval requirements as per the ASI Claims Guide.</p> |

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        | 4 August 2025 | Initial Certification Audit – Full Certification |