

ASI CERTIFICATION
CHAIN OF CUSTODY
STANDARD



PRESENTED TO

Huanghe Xinye Co., Ltd

CERTIFICATE NUMBER

406

ASI STANDARD

CHAIN OF CUSTODY
STANDARD
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

CHINA QUALITY MARK
CERTIFICATION GROUP

DATE OF ISSUE

12 DECEMBER 2024

DATE OF EXPIRY

11 DECEMBER 2027

CERTIFIED SINCE

12 DECEMBER 2024

AUTHORISED BY

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

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

CERTIFICATION SCOPE

Huanghe Xinye Co., Ltd. located in
Xining City, Qinghai Province
(China) with Liquid Aluminium and
Aluminium ingot production.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Huanghe Xinye Co., Ltd
ENTITY NAME	Huanghe Xinye Co., Ltd.
CERTIFICATION SCOPE	Huanghe Xinye Co., Ltd. located in Xining City, Qinghai Province (China) with Liquid Aluminium and Aluminium ingot production.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium SmeltingCasthouses
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (10 – 12 July 2024)Surveillance Audit (9 – 11 July 2025)
AUDIT FIRM	China Quality Mark Certification Group
AUDIT DATE	<ul style="list-style-type: none">10 – 12 July 2024 (Initial Certification Audit)9 – 11 July 2025 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">11 October 2024 (Initial Certification Audit)1 September 2025 (Surveillance Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (10 – 12 July 2024)</u></p> <p>The Audit Scope included the production process of liquid Aluminium and Aluminium ingot production of Huanghe Xinye Co., Ltd. located in Xining City, Qinghai Province (China).</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium SmeltingCasthouses <p>All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit (9 – 11 July 2025)</u></p> <p>The Audit Scope included the production, sales and after-sales service of liquid Aluminium and Aluminium ingot production of Huanghe Xinye Co., Ltd. located in Xining City, Qinghai Province (China).</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium SmeltingCasthouses <p>All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p>

AUDIT OUTCOME Certification

AUDIT METHODOLOGY
DECLARATION

The Auditors confirm that:

- ☑ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.
 - ☑ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
 - ☑ The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
 - ☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION PERIOD 12 December 2024 – 11 December 2027

NEXT AUDIT TYPE Re-Certification Audit

NEXT AUDIT DUE DATE 11 December 2027

CERTIFICATE NUMBER 406



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

Huanghe Xinye Co., Ltd. (the 'Entity') was established in September 2007 and is a wholly-owned subsidiary of Huanghe Hydropower Development Co., Ltd., which oversees the construction and operation of the joint hydropower and Aluminium project. Construction of the Entity's Facilities commenced in March 2008, with the primary operational phases occurring between 2009 and 2010, with a construction cost of approximately RMB 7.5 billion, over an area of over 133 hectares.

The Entity has a production capacity of 600,000 tonnes for Primary Aluminium and 300,000 tonnes for carbon anode, with a total number of over 1,700 employees. It includes nine functional departments, four production branches, and four functional centres. The closest residential area, Shangying Village, is located approximately 1.5 kilometres away.

Key Facilities comprise an Alumina warehouse, four electrolytic production plants, one casting plant, office buildings, dormitories, cafeterias, parking lots and warehouses. The Entity primarily sells its products within China, including markets in Shanghai and Jiangsu.

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 is an ASI member in the Production and Transformation category and was certified to the ASI Performance Standard in January 2024. The Entity is committed to fulfilling all ASI membership obligations and conducting its production and operational activities in Compliance with the ASI Standards.
1.2 CoC Management System	Conformance	The Entity has established a Management System consistent with the relevant requirements of the Chain of Custody (CoC) Standard and integrated CoC-related activities into its existing systems, including the ASI Performance Management System, Quality Management System, Environmental Management System, and Social Responsibility Management System. The Entity also provides adequate human and material resources to ensure the effective implementation of CoC activities.
1.3 CoC Management System Monitoring	Conformance	The Entity regularly reviews the CoC Management System in accordance with CoC Standard requirements and implementation experience, and addresses any non-Compliances identified during its operation.
1.4 Management Representative	Conformance	The Entity has appointed a senior management member as its ASI Management Representative, with responsibilities clearly defined in the appointment letter. The Representative is responsible for organising and coordinating all matters related to both the ASI Performance Standard and applicable requirements of the CoC Standard.
1.5 Communications and Training	Conformance	The Entity's Human Resources Department has established an annual training plan based upon the CoC Standard and coordinates with relevant departments to deliver training on the key elements and processes of the CoC Management System. Training records are maintained.
1.6 Records Management	Conformance	The Entity stipulates that CoC Management System records should be retained for at least five years to support review and traceability of the system's operation.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity undertakes to submit information on the previous year's CoC Material Accounting to the ASI Secretariat by June 30 each year. The Entity's 2025 CoC Annual Report includes the Input and Output Quantities of both CoC and Non-CoC Material.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity undertakes to submit the previous year's CoC Material Accounting information to the ASI Secretariat by June 30 each year. The Entity's 2025 CoC Annual Report includes the Input and Output Quantities of Eligible Scrap.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity undertakes to submit the previous year's CoC Material Accounting information to the ASI Secretariat by June 30 each year. The Entity's 2025 CoC Annual Report includes the Input and Output of Non-CoC Material.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity undertakes to submit the previous year's CoC Material Accounting information to the ASI Secretariat by June 30 each year. The Entity's 2025 CoC Annual Report includes the maximum Positive Balance.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity undertakes to submit the previous year's CoC Material Accounting information to the ASI Secretariat by June 30 each year. The Entity's 2025 CoC Annual Report includes the Positive Balance utilised.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity undertakes to submit the previous year's CoC Material Accounting information to the ASI Secretariat by June 30 each year. The Entity's 2025 CoC Annual Report includes information on Internal Overdraw.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity undertakes to submit the previous year's CoC Material Accounting information to the ASI Secretariat by June 30 each year. The Entity's 2025 CoC Annual Report includes the internal flow of CoC Materials within the Entity.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
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.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.
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.
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.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors.

3. PRIMARY ALUMINIUM: CRITERIA 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.
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CRITERION	RATING	COMMENT
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)	Conformance	The Entity has established a CoC system to ensure the production of ASI Aluminium. The production process involves using purchased Alumina for electrolytic production of liquid Aluminium, which is then converted into Aluminium ingots. The Entity's ASI Performance Standard Certification Scope includes all its Aluminium smelting Facilities, and the ASI Aluminium is produced exclusively from its own smelting Facilities.
3.3b ASI Aluminium (Performance Standard)	Conformance	The Entity underwent an Audit under the ASI Performance Standard in November 2023. In January 2024, the Entity was certified against the ASI Performance Standard. All ASI Aluminium produced by the Entity is produced at its own smelting Facilities.
3.3c ASI Aluminium (Alumina sourcing)	Conformance	Although there are no current CoC transactions, the Entity's procurement process complies with ASI standards and the guidelines detailed in the ASI Management Manual and related procedural documents. Suppliers undergo Due Diligence and risk assessments to ensure compliance. The Entity's ASI Management Manual further stipulates that when procuring ASI Alumina directly from manufacturers or traders, it is critical to confirm that the manufacturer possesses a valid ASI CoC Certificate. Additionally, each batch of Alumina must be accompanied by a valid CoC Document.
4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP		
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.

CRITERION	RATING	COMMENT
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.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established the ASI CoC Management System, which includes the remelt Aluminium ingot casting workshop which has also achieved ASI Performance Standard Certification, aligning with its ASI CoC Certification Scope, which encompasses the production of Aluminium ingots. The casting workshop uses molten Aluminium from the electrolysis workshop to produce remelt Aluminium ingots. All Facilities involved in the production of Aluminium ingots are within the Entity's ASI CoC Certification Scope. The Entity operates without relying on external sourcing.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity has been certified against the ASI Performance Standard, aligning with the scope of its ASI CoC Certification, which includes the Aluminium ingot production process. The Entity's casting workshop uses molten Aluminium from the electrolysis workshop to produce remelt Aluminium ingots. All facilities involved in ingot production are included under the ASI CoC certification. The Entity operates without relying on external sourcing.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity's casting workshop uses molten Aluminium from its electrolysis workshop to produce remelt Aluminium ingots. The facilities for ingot production are included in the ASI CoC Certification Scope. Currently, the Entity only uses self-produced molten Aluminium and does not source externally.
5.2 Unique Identification	Conformance	To ensure traceability, the Entity's Production Department has established a Material Accounting and Identification System during casting. This System assigns a unique identification code to each ASI Product, indicating the production date, model, and batch number on the Aluminium ingot. It also tracks the ingot's circulation, including its proportion and quantity in the production report, and links these data to the CoC material input during the Material Accounting process.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
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	<p>The Entity has established a Supplier Code of Conduct to address the ASI Anti-Corruption Performance Standards, available at: http://www.hhsd.com.cn/upload/files/2023-08-03/file_1691047633.pdf</p> <p>The Entity has established the Procurement Control Procedure and the Anti-Bribery Management Procedure, which define the Entity's ASI procurement Policy. These procedures guide communication with suppliers of Aluminium, Non-CoC Materials, Recycled Scrap and CoC Material obtained through traders.</p> <p>In developing its Policies, the Entity considers relevant legislation on responsible procurement in its operational areas. The Policy is communicated to all relevant suppliers through contractual agreements.</p> <p>Before initiating procurement activities, the Entity conducts investigations and evaluations of suppliers, considering quality factors and ensuring Compliance with Environmental, Social, and Governance (ESG) Standards in their daily operations.</p>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	<p>The Entity has publicly disclosed its latest responsible procurement Policy on its website, available at: http://www.hhsd.com.cn/open/catalogue/sgdw/30/</p> <p>The Entity conducts an annual evaluation of suppliers, addressing Environmental, Social, and Governance (ESG) risks, all of which must comply with the Entity's ASI Policy requirements. The procurement of key raw materials, such as Alumina, and auxiliary materials, such as Aluminium fluoride, is primarily managed by its Enterprise Group through centralised procurement. The Entity collaborates with State Power Investment Group Aluminium International Trade Co., Ltd. to evaluate suppliers, ensuring they meet qualification and evaluation standards. In December 2024, the Entity reviewed the 'Supplier Evaluation Form' and conducted evaluations for two Alumina suppliers (Non-CoC Material) and one Aluminium fluoride supplier.</p>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	<p>The Entity has established a procurement Policy focused on responsible sourcing, which is distributed to employees to address Human Rights Due Diligence. This includes guidelines, risk assessment and mitigation measures, and complaint mechanisms to address Aluminium supply chain risks. The Procurement Control Procedure requires the Entity to conduct a thorough investigation and evaluation of suppliers prior to procurement. Procurement contracts include annexes addressing Anti-Bribery, Human Rights, environmental, and other ASI-required information.</p> <p>The Entity conducts Human Rights Due Diligence on raw material suppliers to prevent exploitation and abuse. If a direct supplier is found to be in violation of Human Rights, or if any of their Stakeholders are involved in such behavior, the Entity will cease Business with them. The Entity reviews relevant procedures annually and addresses any changes or control deficiencies, though no such issues have arisen within the Entity.</p>

CRITERION	RATING	COMMENT
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has established procurement Policies and distribution process for its employees, which include an assessment of areas with potential Conflict-Affected and High-Risk Areas (CAHRAs). In accordance with the Procurement Control Procedure, the Entity conducts investigations and evaluations of suppliers before procurement. The Entity does not engage suppliers located within CAHRAs.
7.2 Risk Assessment and Mitigation	Conformance	<p>Based on its Responsible Procurement Policy, the Entity has established a procurement framework with supplier accountability, which includes a risk assessment and confirmation process. Default risk assessments are conducted for primary suppliers, including traders, of both Non-CoC and CoC Material. Investigation results are recorded, and appropriate risk mitigation measures are implemented for any identified adverse impacts.</p> <p>The Entity's procurement is primarily handled via centralised procurement by its Enterprise Group. The Entity collaborates with State Power Investment Group Aluminium International Trade Co., Ltd. to conduct joint annual evaluations of relevant suppliers. The Entity assesses risks related to non-Compliance with its responsible procurement Policies through on-site audits and supplier self-assessments.</p> <p>All physical purchases are made from Non-CoC Material suppliers. Due Diligence and risk assessments have been undertaken on all suppliers, including pre-qualification requirements and risk weighting, to determine their qualification status. The Due Diligence and risk assessment conducted by the Entity in December 2024 on all suppliers identified low risks. The investigation also included Human Rights Due Diligence.</p> <p>During the Audit, two Alumina raw material suppliers were contacted via telephone for follow-up and verification to confirm that they had been engaged in a Due Diligence assessment.</p>
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity has established a mechanism to manage complaints and concerns related to ASI issues. It collects, processes, and responds to complaints from various Stakeholders, tracking and implementing improvements accordingly.</p> <p>The publicly disclosure of the Entity's contact number facilitates the Entity to accept information inquiries, complaints, and appeals from all parties. The latest version of the Complaint Resolution Mechanism is also publicly available on the Entity's website, available at: http://www.hhsd.com.cn/open/catalogue/sgdw/30/</p>
8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System and management procedures to ensure the recording of the Input and Output Quantities of CoC Material and Non-CoC Material within its Certification Scope, as well as the Input and Output Quantities of Eligible Scrap. The system also tracks the movement of CoC and Non-CoC Material across supply chain activities, ensuring quality balance integrity between CoC Materials and Eligible Scrap.
8.2 Material Accounting Period	Conformance	The ASI CoC Management Manual stipulates that the accounting period runs from January to December each year. The ASI Material

CRITERION	RATING	COMMENT
		Balance Calculation Sheet uses the same calendar year as the period for statistical reporting.
8.3 Input and Inflow Quantities	Conformance	The Entity stipulates that during the Material Accounting Period, the Input Quantity of each batch of CoC Material and Eligible Scrap, as well as the Input Quantity of Non-CoC Material and Recyclable Scrap within the Certification Scope, should be recorded. The Inflow Quantity of Eligible Scrap and r Recyclable Scrap is evaluated based on their Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	During the Material Accounting Period, the Entity calculates the CoC Material Output based on the percentage of CoC Material Input relative to the total mass of CoC and Non-CoC Material inflows.
8.5 Indivisibility of CoC Material	Conformance	The Entity's ASI Management Manual specifies that the Output Quantity of CoC Material may only represent a portion of the total production quantity. This Output is to be classified as 100% CoC Material. Only materials that fully meet the CoC requirements can be categorised as CoC Material, without mixing or partial classifications.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's ASI Management Manual specifies that for Scrap generated during the production process and intended to be designated as Eligible Scrap, the Output Percentage of ASI Aluminium and Eligible Scrap should equal the Input Percentage during the Material Accounting Period.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's ASI Management Manual stipulates that during the Material Accounting Period, the Output of CoC Material and/or Eligible Scrap must not exceed the Input Percentage of CoC Material and/or Eligible Scrap.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has stipulated in the ASI Management Manual that internal Overdraw must not exceed 20% of the total Input of CoC Material within the Material Accounting Period. The Entity did not exceed this limit or Overdraw in 2024.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has stipulated in the ASI Management Manual that Internal Overdraw must not exceed the amount of CoC Material affected by the Force Majeure. This situation has not occurred during the current cycle.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has stipulated in the ASI Management Manual that Internal Overdraw must be made up within the subsequent Material Accounting Period. The Entity did not experience any such events in 2024.
8.9a Positive Balance (Carry over)	Conformance	The Entity has stipulated in the ASI Management Manual that at the end of an accounting period, if there is a Positive Balance of CoC Material, it can be carried over to the next accounting period. The Material Accounting system will identify and mark any items with a Positive Balance as carried over. There was no Positive Balance in 2024.
8.9b Positive Balance (Expiry)	Conformance	The Entity has stipulated in the ASI Management Manual that any Positive Balance generated in one accounting period and carried

CRITERION	RATING	COMMENT
		forward to the subsequent Material Accounting Period, if not used by the end of that period, will expire at the end of the year and will not be extended. There were no such occurrences in 2024.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity's ASI Management Manual requires the CoC Document to accompany each shipment or transfer of CoC Material to a CoC-certified Entity or trader. It plans to use the CoC Document template recommended in the ASI Chain of Custody Standard for these transactions. To date, no CoC Material has been shipped to other Entities.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity's ASI Management Manual stipulates that the CoC Document shall include the Date of issue. The Entity issues CoC Documents for each batch of CoC Material/Product using the ASI CoC Document template. No CoC Material has been shipped to other Entities.
9.2b CoC Document Content (Reference number)	Conformance	The Entity's ASI Management Manual stipulates that the CoC Document reference number is linked to the Entity's Material Accounting System and can be traced and verified. The Entities will issue CoC Documents for each batch of Material/Product using the ASI CoC Document template, which includes the Reference number. All issued CoC Documents adheres to the defined Reference number formats.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity's ASI Management Manual stipulates that the CoC Document must include the name, address, and CoC certificate number of the issuing unit. The Entity uses the ASI CoC Document template to issue CoC Documents for each batch of Material/Product.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity's ASI Management Manual stipulates that the CoC Document must include the name and address of the customer receiving the CoC Material. If the customer holds CoC Certification, their CoC Certification number must also be included. The Entity uses the CoC Document template defined in the ASI Chain of Custody Standard for each batch of Material/Product.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity's ASI Management Manual stipulates that, before being sent to customers, the CoC Document must include the name of the responsible personnel who verify the information. The Entity will use the ASI CoC Document template for each batch of Material/Product. All issued CoC Documents must be reviewed and approved by the Head of the Sales Department before being sent to customers.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity's ASI Management Manual stipulates that all issued CoC Documents must include a confirmation statement stating 'The information provided in the CoC Document is in Compliance with the ASI CoC Standard.'
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity's ASI Management Manual stipulates that all issued CoC Documents must include the types of CoC Material in the shipment. The Entity issues CoC Documents for each batch of Material/Product using the ASI CoC Document template.

CRITERION	RATING	COMMENT
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity's ASI Management Manual stipulates that all issued CoC Documents must include the Mass of CoC Materials shipped. The Entity issues CoC Documents for each batch of Material/Product using the ASI CoC Document template.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity's ASI Management Manual stipulates that all issued CoC Documents must include the Mass of total material shipped. The Entity issues CoC Documents for each batch of Material/Product using the ASI CoC Document template.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity's ASI Management Manual stipulates that the CoC Document shall include relevant Sustainability Data, including the average carbon footprint and the accounting method for CoC Material. The Entity has obtained a carbon footprint certification, which includes the carbon footprint and accounting method for CoC Material.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity's ASI Management Manual stipulates that the CoC Document shall include relevant Sustainability Data, such as information supporting the source of Aluminium in accordance with ASI Performance Standard.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity's ASI Management Manual stipulates that any Supplementary Information in the CoC Document be supported by Objective Evidence.
9.5 Verification of Information	Conformance	The Entity's ASI Management Manual specifies that the Entity is responsible for responding to information verification requests in the CoC Document by providing verification support to relevant parties. To facilitate this, the Entity has developed the CoC Document Information Validation Procedure for handling reasonable requests to verify information in the CoC Document.
9.6 Error (Shipping)	Conformance	The Entity has implemented a Quality Management System which is certified to ISO 9001 and requires that any errors be analysed for root causes, with corrective actions implemented to prevent recurrence.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity has developed standard procedures to verify the information in the received CoC Document and assigned responsibility for this verification. No CoC Material has been received to date.
10.2 Verification of Consistency Between CoC	Conformance	The Entity has stipulated in its ASI Management Manual that, upon receiving CoC Material and Documents, it is necessary to verify

CRITERION	RATING	COMMENT
Documents and CoC Material		whether the CoC Documents are consistent with the accompanying CoC Material or Eligible Scrap before proceeding with Material Accounting registration.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established a procedure for verifying the ASI CoC Certification status of suppliers. Its Material Centre checks the ASI website quarterly to verify the Certification status. Currently, the Entity does not have any suppliers with CoC Certification.
10.4 Error (Reception)	Conformance	To comply with the Entity's ASI Standard requirements, the Entity has analysed the causes of errors by integrating the ASI Performance Management System with the quality Management System, and has implemented corrective measures to prevent recurrence. To date, no errors have occurred.

11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's ASI Management Manual stipulates that all claims must comply with the ASI Claims Guide and outlines the relevant responsibilities and authorities. To date, there have been no claims that violate the standard requirements.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity's ASI CoC Management Manual has established documentation and claims procedures, integrated with its ISO 9001 Quality Management System, to ensure that records are verifiable and that the claims methods comply with ASI Standards.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has developed procedures in Compliance with Standard requirements, specifying training to be provided to employees based on Standards and claims. An ASI training plan for 2025 has been formulated. A review of this year's training confirms that it was completed from January to June, with employee sign-ins and training effectiveness evaluations conducted.

ASI LIMITATION OF LIABILITY DISCLAIMER

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	12 December 2024	Initial Certification Audit – Full Certification
1	5 December 2025	Surveillance Audit