

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Shandong Innovation Sheet Materials Co., Ltd.

CERTIFICATE NUMBER

531

ASI STANDARD

CHAIN OF CUSTODY
STANDARD
(V2 2022)

DATE OF ISSUE

30 JANUARY 2026

CERTIFICATION LEVEL

FULL
CERTIFICATION

DATE OF EXPIRY

29 JANUARY 2029

ASI ACCREDITED
AUDITING FIRM

SGS-CSTC STANDARDS
TECHNICAL SERVICES

CERTIFIED SINCE

30 JANUARY 2026

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. He'.

CERTIFICATION SCOPE

Manufacture of Aluminium and
Aluminium alloy sheet, strip, and foil
at Shandong Innovation Sheet
Materials Co., Ltd. located in
Shandong Province, China.

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

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

www.aluminium-stewardship.org

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Shandong Innovation Group Co., Ltd.
ENTITY NAME	Shandong Innovation Sheet Materials Co., Ltd.
CERTIFICATION SCOPE	Manufacture of Aluminium and Aluminium alloy sheet, strip, and foil at Shandong Innovation Sheet Materials Co., Ltd. located in Shandong Province, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none">11 – 12 December 2025
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">3 January 2026
AUDIT SCOPE	<p>The Audit Scope includes the manufacture of Aluminium and Aluminium alloy sheet, strip, and foil at Shandong Innovation Sheet Materials Co., Ltd. located in Shandong Province, China.</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse <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"><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<input checked="" type="checkbox"/> The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.

☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

CERTIFICATION PERIOD 30 January 2026 – 29 January 2029

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 30 July 2027

CERTIFICATE NUMBER 531



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

Shandong Innovation Sheet Materials Co., Ltd. (the 'Entity') was established in June 2008 and is an important member enterprise of the listed company Innovation New Materials Technology Co., Ltd. (Stock Code: 600361). With a registered capital of 500 million yuan and more than 1,100 employees, the Entity is a large-scale production enterprise with technical strength, focusing on the R&D and manufacturing of high-precision Aluminium sheet, strip and foil.

The Entity is located in Innovation Industrial Park, Zouping City, Shandong Province. The central coordinates of the factory area are 117°80'77.10" E longitude and 36°92'45.00" N latitude. It is mainly adjacent to Diaosong Village, Jiaoqiao Town (north side), Daweijia Village, Handian Town (west side) and Guojia Village, Jiaoqiao Town (east side).

The Entity covers an area close to 310,000 square metres (m²), with a total construction area of 208,788 m² and a designed production capacity of 400,000 tonnes/year, with 240,000 tonnes of Aluminium and Aluminium alloy sheet, strip and foil of annual production of saleable products. It is currently equipped with 50 Casting and rolling production lines, nine high-stand cold rolling units, as well as a full set of supporting equipment such as finishing, slitting and cleaning. It can produce 1xxx, 3xxx, 5xxx and 8xxx series Aluminium alloy sheet, strip and foil, forming a complete technological process from melting, Casting and rolling, cold rolling, cleaning and annealing to finishing, slitting and packaging, ensuring that product dimensional accuracy and appearance quality meet customer requirements. The Entity's other ancillary infrastructure on-site includes an office building, three Workers' dormitories, employee parking lots, one raw materials warehouse, and two finished products warehouses.

The main production energy sources are electricity and natural gas. The Entity actively carries out energy conservation, emissions reduction and 'green' manufacturing practices, and is equipped with environmental protection treatment devices, photovoltaic power generation facilities and electricity from the grid.

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	High
RISKS	Medium
PERFORMANCE	Medium
OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	<p>The Entity is the subsidiary of Shandong Innovation Group Co., Ltd. that joined ASI in 2023 in the Production and Transformation membership class.</p> <p>The Entity's ASI membership information is available at: https://aluminium-stewardship.org/about-asi/members/Shandong-Innovation-Group-Co---Ltd-</p>
1.2 CoC Management System	Conformance	The Entity has implemented an ASI Management System that addresses all applicable requirements of the ASI Chain of Custody Standard in all Facilities. The Management System is documented, and relevant personnel have received training.
1.3 CoC Management System Monitoring	Conformance	The Entity has established and implemented an internal audit procedure. An internal audit has been conducted to review the effectiveness of the CoC Management System. Improvements to the CoC Management System may be raised by any employee through the continuous improvement process.
1.4 Management Representative	Conformance	The Entity has nominated its Vice General Manager as the Management Representative whose roles and responsibilities are defined in writing and are communicated within the Entity. The Management Representative has overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established and implemented a Training Procedure relevant to the Chain of Custody Standard. The Entity provides training in accordance with this Procedure to ensure relevant personnel are aware of, and competent in their responsibilities under the ASI Chain of Custody Standard.
1.6 Records Management	Conformance	The Entity has established a Documents and Records Control Procedure. Relevant CoC records have been maintained. The CoC records are to be retained for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has implemented a Procedure that requires it to report all relevant CoC Material information to the ASI Secretariat by 30 June of the year following the end of each calendar year.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has implemented a Procedure that requires it to report all relevant CoC Material information to the ASI Secretariat by 30 June of the year following the end of each calendar year.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has implemented a Procedure that requires it to report all relevant CoC Material information to the ASI Secretariat by 30 June of the year following the end of each calendar year.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has implemented a Procedure that requires it to report all relevant CoC Material information to the ASI Secretariat by 30 June of the year following the end of each calendar year.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has implemented a Procedure that requires it to report all relevant CoC Material information to the ASI Secretariat by 30 June of the year following the end of each calendar year.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has implemented a Procedure that requires it to report all relevant CoC Material information to the ASI Secretariat by 30 June of the year following the end of each calendar year.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has implemented a Procedure that requires it to report all relevant CoC Material information to the ASI Secretariat by 30 June of the year following the end of each calendar year.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as it does not have 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 have Outsourcing Contractors.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have Outsourcing Contractors.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have 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 have 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 have Outsourcing Contractors.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have 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.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
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.

4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP

4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	The Entity's production Inflows are primarily from Aluminium melt and ingots that do not have Recycled Aluminium content, supplemented by a small portion of Scrap. The Entity produces ASI Aluminium from its Facility that is Certified to the ASI Chain of Custody and Performance Standards.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity's production Inflows are primarily Aluminium melt and ingots that do not have Recycled Aluminium content, supplemented by a small portion of Scrap. The Entity produces ASI Aluminium from its Facility that is Certified to the ASI Chain of Custody and Performance Standards.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity's procedures establish that Pre-Consumer Scrap can only be designated as an Input to ASI Aluminium if it sourced from an ASI CoC Certified Entity. The Entity currently purchases Pre-Consumer Scrap from a supplier that is not an ASI Member. Due Diligence has been conducted on that supplier.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity's ASI CoC Recycled Aluminium Management Procedure specifies the criteria and management procedures for determining qualified waste and its suppliers. It has been confirmed that Due Diligence has been conducted on Post-Consumer Scrap suppliers.
4.2c Eligible Scrap (Dross)	Conformance	The Entity has implemented its ASI Procurement Process and Control Program, which specifies the criteria and management procedures for determining Eligible Waste Products and their suppliers. To date, the Entity has not purchased qualified/Eligible Waste from processed Aluminium slag suppliers.
4.3a Records Management for Direct Suppliers of	Conformance	The Entity has established the ASI Supplier Control Procedure and ASI Supplier Evaluation Management Control Procedure, which define the

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Suppliers)	Conformance	recording requirements for information on direct supplying Recyclable Scrap Material contractors including the supplier's identity, principles and places.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)		The Entity has implemented a Cash Payment Principle which limits cash transactions to no more than US\$10,000. In practice, there have been no cash transactions between the Entity and its suppliers.

5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented a procedure that defines necessary criteria to designate material as ASI Aluminium. The Entity only produces ASI Aluminium from the Casthouses that are part of this CoC Certification Scope. All eligible Casthouse Products can be traced in the Entity's Material Accounting System.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity has implemented a procedure that defines that ASI Aluminium must be produced only from a Facility which is Certified against the ASI Performance Standard.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented a procedure which defines that ASI Aluminium must be either directly sourced from another ASI CoC Certified Entity or via a Trader, where the ASI CoC Certified Entity that is the source of the ASI Aluminium can be identified, and the supplier can provide a verified CoC Document.
5.2 Unique Identification	Conformance	The Entity has established a procedure that specifies the Product code rules necessary for Product traceability. The ASI Aluminium produced by the Entity is assigned a unique number for traceability. The identification number is generated according to the production plan. The identification number is physically stamped on ASI Aluminium and corresponds to the Input Quantities of CoC Material for the Material Accounting Period.

6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established a procedure to ensure that it produces Aluminium Products only from the Facility that is within its CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has implemented a procedure to ensure that that ASI Aluminium must be produced only from a Facility which is Certified against the ASI Performance Standard.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented a procedure which defines that ASI Aluminium must be either directly sourced from another ASI CoC Certified Entity or via a Trader, where the ASI CoC Certified Entity that is the source of the ASI Aluminium can be identified, and the supplier can provide a verified CoC Document.

7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL

CRITERION	RATING	COMMENT
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has developed and implemented a Responsible Sourcing Policy addressing anti-Corruption. The Entity communicates its Responsible Sourcing Policy, and the Policy has been actively accepted by its suppliers. The Policy is approved by the General Manager and is available at: https://innovationmetal.com/d/file/p/2025/11-25/0a1a296ac65d2898ed4e29ccdfdb1731.pdf
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has developed and implemented a Responsible Sourcing Policy. The Entity communicates its Responsible Sourcing Policy, and the Policy has been actively accepted by its suppliers. The Policy is approved by the General Manager and is available at: https://innovationmetal.com/d/file/p/2025/11-25/0a1a296ac65d2898ed4e29ccdfdb1731.pdf
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has developed and implemented a Responsible Sourcing Policy addressing Human Rights Due Diligence. Due Diligence has been undertaken for the Entity's Aluminium suppliers. The Entity communicates its Responsible Sourcing Policy, and the Policy has been actively accepted by its suppliers. The Policy is approved by the General Manager and is available at: https://innovationmetal.com/d/file/p/2025/11-25/0a1a296ac65d2898ed4e29ccdfdb1731.pdf
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has developed and implemented a Responsible Sourcing Policy addressing Conflict-Affected and High-Risk Areas (CAHRAs). Due Diligence reports demonstrate no Aluminium material has been sourced from CAHRAs. The Entity communicates its Responsible Sourcing Policy, and the Policy has been actively accepted by its suppliers. The Policy is approved by the General Manager and is available at: https://innovationmetal.com/d/file/p/2025/11-25/0a1a296ac65d2898ed4e29ccdfdb1731.pdf
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established procedures to assess the risks of non-compliance by suppliers with its Responsible Sourcing Policy. A risk assessment has been undertaken and the risk of non-compliance with the Responsible Sourcing Policy is currently assessed as low.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has implemented several Complaints Resolution Mechanisms for Stakeholders to raise concerns through different channels, including email, telephone and contractual means. The complaints channel is available at: https://innovationmetal.com/d/file/p/2025/11-07/5b4b3a47873a9861e93733c3f063f7f9.pdf
8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established and implemented a Mass Balance System for CoC Materials and an ASI Aluminium Management Procedure. The ASI CoC Management Manual prescribes responsibilities for both implementation and data integrity. The Entity has developed and implemented its ASI CoC Material Accounting Tool, which records the Input Quantity and Output Quantity of Aluminium Material by Mass.

CRITERION	RATING	COMMENT
8.2 Material Accounting Period	Conformance	The Entity has implemented a Material Accounting Period of 12 months in its Mass Balance System for CoC Materials and ASI Aluminium Management Procedure.
8.3 Input and Inflow Quantities	Conformance	The Entity has established procedures whereby, for a given Material Accounting Period, the Entity uses the Input Quantity of CoC Material to determine the Quantity of CoC Material available for export, proportional to the total inflow of CoC and non-CoC Materials (by mass). The Entity has verified the effectiveness of its Material Accounting System using simulated data.
8.4 Output Quantities of CoC Material	Conformance	<p>The Entity has established and implemented a Mass Balance System for CoC Material and an ASI Aluminium Management Procedure. The ASI CoC Management Manual stipulates responsibilities for implementation and data integrity.</p> <p>The Entity has developed and implemented its ASI CoC Material Accounting Tool, which is able to record the Input Quantity and Output Quantity of Aluminium Material by Mass.</p>
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a Procedure to define the Output Quantity of CoC Material. Based on the simulation data, the Mass Balance System automatically designates the Output Quantity as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has established procedures whereby, for a given Material Accounting Period, the Entity uses the Input Quantity of CoC Material to determine the Quantity of CoC Material available for export, proportional to the total inflow of CoC and non-CoC Material (by mass). The Entity verified the effectiveness of its Material Accounting System using simulated data.
8.7 Consistency Between Input Percentage and Total Output	Conformance	<p>The Entity has developed and implemented a Mass Balance System for CoC Material and an ASI Aluminium Management Procedure. The ASI CoC Management Manual prescribes responsibilities for both implementation and data integrity.</p> <p>The Entity has stipulated and implemented its ASI CoC Material Accounting Tool, which is able to record the Input Quantity and Output Quantity of Aluminium Material by Mass.</p>
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has implemented its ASI CoC Management Manual which defines that in a Force Majeure situation the Entity may make an Internal Overdraw where the Internal Overdraw shall not exceed 20% of 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 procedure which specifies that the quantity of any Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure circumstances.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has established a procedure which defines that any Internal Overdraw must be made up in the following Material Accounting Period.

CRITERION	RATING	COMMENT
8.9a Positive Balance (Carry over)	Conformance	The Entity has established in its procedures that it may carry forward a Positive Balances of CoC Material to the subsequent Material Accounting Period.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established in its procedures that it may carry forward a Positive Balances of CoC Material to the subsequent Material Accounting Period. The procedures further define that any Positive Balance carried forward is identified as 'carry over CoC Material' and must be consumed in the subsequent Material Accounting Period.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity has implemented its Issuance of CoC Documents Management Procedure. The Procedure defines that a CoC Document must accompany each shipment of CoC Material dispatched to other CoC Certificated Entities or Traders. The Entity has implemented a system to ensure CoC Documents are automatically generated and shipped together with the Product to the recipients.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including a reference number that is identical with the reference number of the shipping document and linked to the Material Accounting System.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including the details of the Entity, its address and CoC Certification number for each shipment.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including the identity, address and CoC Certification number of the receiving customer.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including the email of the responsible person for verification.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including a conformance statement that 'The information provided in the CoC Document is in accordance with the ASI Chain of Custody Standard'.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including information on the type of CoC Material.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total	Conformance	The Entity's CoC Documents contain all information under the ASI Chain of Custody Standard, including information on the mass of CoC

CRITERION	RATING	COMMENT
material)		Material and the mass of total Material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity's CoC Documents Management Procedure has defined that data on the average carbon footprint of the CoC Material must be included on the CoC Document, if requested by customers.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity's CoC Documents Management Procedure has defined that information to support the origin of the ASI Aluminium must be included on the CoC Document, if requested by customers.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity's CoC Documents Management Procedure has defined that information on the recycled content of the CoC Material, including methodology regarding Pre-Consumer Scrap and Post-Consumer Scrap, must be included on the CoC Document, if requested by customers.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity's CoC Documents must disclose the ASI Certification Status of the Entity in the CoC Document.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	Where the Entity discloses Supplementary Information in its CoC Documents it must include Management System Certification information to support the information provided.
9.5 Verification of Information	Conformance	<p>The Entity has established a Procedure that defines the process and responsibility for responding to reasonable verification of information requests regarding its CoC Documents.</p> <p>The Quality and Technology Department Manager is responsible for responding to requests for verification of the information in the CoC Documents.</p>
9.6 Error (Shipping)	Conformance	The Entity has established a procedure that defines the disposal process to be followed after the discovery of an error after receiving a CoC Material shipment. Any errors identified by the Entity must be promptly corrected and the Entity will implement actions to avoid a recurrence.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Minor Non-Conformance	<p>The Entity has defined in its procedures that it must verify all required information in received CoC Documents, as prescribed in Section 9 of the ASI CoC Standard, and related records will be maintained.</p> <p>The Entity does not however require suppliers to enter Sustainability Data and Supplementary Information. The Entity's processes therefore do not ensure verification of all required information.</p>
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has implemented a procedure that requires the verification of consistency between the received CoC Documents and the accompanying CoC Material before recording information in the Enterprise Resource Planning system.
10.3 Verification of Supplier's ASI CoC	Conformance	The Entity has established and implemented a system to review relevant CoC Certification of its suppliers on at least a quarterly basis,

CRITERION	RATING	COMMENT
Certification	Conformance	including the suppliers' CoC Certificates, their validity and any changes in the Certification Scope.
10.4 Error (Reception)		The Entity has established a procedure that specifies the disposal process for a discovered error after CoC Material is received. The Entity and the supplying party must document the error and the agreed steps taken to correct it and implement actions to avoid a recurrence.
11. CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has established and implemented its ASI CoC Claim and Communication Management Procedure. The Procedure defines that claims and communications are to be made in a manner and form consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has established and implemented its ASI CoC Claim and Communication Management Procedure. The Procedure defines that claims and communications are to be made in a manner and form consistent with the ASI Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided training to relevant employees regarding the ASI Claims Guide requirements. The Audit confirmed key staff are familiar with the content of the ASI Statement and Notification Management Procedures.

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	30 January 2026	Initial Certification Audit – Full Certification