

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

## Nemak México, S.A. – Plants 1 & 2, Plants 3 & 4, Plants 5 & 6, PDC, HPDC, Machining and EMC

CERTIFICATE NUMBER

534

ASI STANDARD

CHAIN OF CUSTODY  
STANDARD  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

23 APRIL 2026

DATE OF EXPIRY

22 APRIL 2029

CERTIFIED SINCE

23 APRIL 2026

AUTHORISED BY

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

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

Manufacturing and associated supply chain activities at these facilities (Plants 1 & 2, Plants 3 & 4, Plants 5 & 6, PDC, HPDC, Machining and EMC), encompassing production processes, operational activities, and supply chain management for high-quality Aluminium components for the automotive industry at Nemak México S.A., Mexico.

# AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Nemak S.A.B de C.V
ENTITY NAME	Nemak México S.A. - Plants 1 & 2, Plants 3 & 4, Plants 5 & 6, PDC, HPDC, Machining and EMC
CERTIFICATION SCOPE	Manufacturing and associated supply chain activities at these facilities (Plants 1 & 2, Plants 3 & 4, Plants 5 & 6, PDC, HPDC, Machining and EMC), encompassing production processes, operational activities, and supply chain management for high-quality Aluminium components for the automotive industry at Nemak México S.A., Mexico.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Casthouses</li><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	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 10 – 21 November 2025</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 7 January 2026</li></ul>
AUDIT SCOPE	<p>The Audit Scope included the following Nemak México S.A. (Garcia site) Facilities, Plants 1 &amp; 2, 3 &amp; 4, 5&amp;6, PDC, HPDC, Machining and EMC.</p> <p>The supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>• Casthouses</li><li>• Post-Casthouse</li></ul> <p>All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li>☑ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.</li><li>☑ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li>☑ 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>☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate</li></ul>

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professional, independent and objective.

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CERTIFICATION PERIOD 23 April 2026 – 22 April 2029

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DUE DATE 22 October 2027

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CERTIFICATE NUMBER 534

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If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

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

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

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## ENTITY OVERVIEW

Nemak, S.A.B. de C.V. ('Nemak' or the 'Nemak Group') is a provider of lightweighting solutions for the global automotive industry, specialising in the development and manufacture of Aluminium components for e-mobility, structure and chassis and Internal Combustion Engine (ICE) powertrain applications. Its operations in México are primarily concentrated in the states of Nuevo León and Coahuila, where it maintains production plants dedicated to manufacturing cylinder heads, engine blocks, transmission cases, and lightweight structural components. Nemak currently employs approximately 24,000 people at 38 production facilities worldwide.

Nemak México S.A. in Nuevo León, operates multiple machining and other production lines across several business units to produce Aluminium components for the automotive industry such as engine blocks, structural components and battery trays. These business units include Plants 1 & 2, Plants 3 & 4, Plants 5 & 6, the Product Development Centre (PDC), High-Pressure Die Casting plant (HPDC), the Machining Plant and Electric Mobility Centre (EMC) (collectively the 'Entity'), also operating alongside the Melting Centre. Together, these production units are located at Libramiento Arco Vial Km. 3.8, García Nuevo León in México, an industrial area for which there are no sensitive receptors identified. These production units collectively employ over 10,000 Workers.

## 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	
<b>SYSTEMS</b>	High
<b>RISKS</b>	High
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>HIGH</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	<p>The Entity has been a member of ASI since June 2022: <a href="https://aluminium-stewardship.org/about-asi/members/Nemak-S-A-B-de-C-V">https://aluminium-stewardship.org/about-asi/members/Nemak-S-A-B-de-C-V</a></p> <p>The Entity is certified against the ASI Performance Standard.</p>
1.2 CoC Management System	Conformance	<p>The Entity has implemented a procedural Management System that addresses all applicable requirements of the ASI Chain of Custody (CoC) Standard in all Facilities within the Entity's CoC Certification Scope that take Custody of CoC Material.</p>
1.3 CoC Management System Monitoring	Conformance	<p>The Entity has established procedures and processes regarding the periodic review of its Management System and associated updates as required.</p> <p>The Entity periodically reviews and updates the Management System, considering implementation experience and to address potential areas of non-conformance.</p>
1.4 Management Representative	Conformance	<p>The Entity's Global Metal Purchasing Director is the ASI CoC project sponsor globally. They have the responsibility for enabling the cross-functional collaboration to develop and maintain the systems and tools to ensure conformance with the ASI Chain of Custody Standard requirements.</p>
1.5 Communications and Training	Conformance	<p>The Entity has established a procedure to ensure conformance with the ASI Chain of Custody Standard requirements on communications and training. Roles and responsibilities are well defined, and a communication and training plan has been implemented, allowing all relevant teams to be aware and knowledgeable of the requirements to make them competent in their responsibilities.</p>
1.6 Records Management	Conformance	<p>The Entity maintains 'up-to-date' records that address all applicable requirements of its ASI CoC Procedure. The Entity's Standard Operating Procedures define the retention time and systems in use for retention, ensuring at least a five-year retention time of relevant documentation and records.</p>
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	<p>The Entity has defined in its ASI CoC Procedure the method for communicating the necessary data regarding CoC Materials to the ASI Secretariat, via the ElementAI Platform made available by ASI, by 30 June of the year following the end of each calendar year. The reporting includes information on the Input and Output Quantities of CoC Material/s to/from the Certified Entity over the calendar year.</p>
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	<p>The Entity has defined in its ASI CoC Procedure the method for communicating the necessary data regarding CoC Materials to the ASI Secretariat, via the ElementAI Platform made available by ASI, by 30 June of the year following the end of each calendar year. The</p>

CRITERION	RATING	COMMENT
		reporting includes information on the Input and Output Quantities of Eligible Scrap (if any) to/from the Certified Entity over the calendar year.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has defined in its ASI CoC Procedure the method for communicating the necessary data regarding CoC Materials to the ASI Secretariat, via the ElementAI Platform made available by ASI, by 30 June of the year following the end of each calendar year. The reporting includes information on the Inflow and Outflow Quantities of Non-CoC Material/s to/from the Certified Entity over the calendar year.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has defined in its ASI CoC Procedure the method for communicating the necessary data regarding CoC Materials to the ASI Secretariat, via the ElementAI Platform made available by ASI, by 30 June of the year following the end of each calendar year. The reporting includes information on the Positive Balance carried over to the subsequent Material Accounting Period, if any.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has defined in its ASI CoC Procedure the method for communicating the necessary data regarding CoC Materials to the ASI Secretariat, via the ElementAI Platform made available by ASI, by 30 June of the year following the end of each calendar year. The reporting includes information on the Positive Balance used, if any.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has defined in its ASI CoC Procedure the method for communicating the necessary data regarding CoC Materials to the ASI Secretariat, via the ElementAI Platform made available by ASI, by 30 June of the year following the end of each calendar year. The reporting includes information on the Internal Overdraw drawn down from the subsequent Material Accounting Period, if any.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	This Criterion is not applicable to the Entity, as it does not produce more than one type of CoC Material Production as an Output.
<b>2. OUTSOURCING CONTRACTORS</b>		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
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 use Outsourcing Contractors for CoC Material.

CRITERION	RATING	COMMENT
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 use Outsourcing Contractors for CoC Material.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
<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 (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 implemented a system to ensure that ASI Aluminium is produced exclusively in its own foundries, which are within the scope of the Entity's Chain of Custody Standard Certification. This is defined in the Entity's ASI CoC Standard Certification procedures manual.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity has a foundry process certified to the ASI Performance Standard and Chain of Custody Standard. Information on the Member's Certification status is available on the ASI membership website at: <a href="https://aluminium-stewardship.org/about-asi/members/Nemak-S-A-B-de-C-V">https://aluminium-stewardship.org/about-asi/members/Nemak-S-A-B-de-C-V</a>
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented a process to ensure that all ASI Aluminium is sourced either directly 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 can provide a verified CoC Document.
5.2 Unique Identification	Conformance	In accordance with customer requirements, the Entity has established processes to ensure the traceability of its Products linked to the Material Accounting System, using unique identification numbers on delivery notes for this purpose and enabling tracking through its Enterprise Resource Planning (SAP) system.

## 6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented a system to ensure that ASI Aluminium Products is produced exclusively in its own Facilities, which are within the scope of the Entity's CoC Standard Certification. This is defined in the Entity's ASI CoC Standard Certification procedures manual.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has a foundry process certified by ASI Performance Standard and Chain of Custody. Information on the Member's Certification Status is available on the ASI membership website at: <a href="https://aluminium-stewardship.org/about-asi/members/Nemak-S-A-B-de-C-V">https://aluminium-stewardship.org/about-asi/members/Nemak-S-A-B-de-C-V</a>
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented a process to ensure that all ASI Aluminium is sourced either directly 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 can provide a verified CoC Document.

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

CRITERION	RATING	COMMENT
<b>MATERIAL</b>		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has established a Global Business Code for Suppliers which addresses Anti-Corruption. The Entity's Policies including the Code for Suppliers are implemented and made available to suppliers on the Entity's website and in the supplier approval process: <a href="https://www.nemak.com/media/3374/nemak-business-code-for-suppliers.pdf">https://www.nemak.com/media/3374/nemak-business-code-for-suppliers.pdf</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has established a Sustainable Purchasing Policy for Suppliers. The Policy has been implemented and made available to suppliers on the Entity's website and in the supplier approval process: <a href="https://www.nemak.com/media/2842/sustainable-purchasing-policy.pdf">https://www.nemak.com/media/2842/sustainable-purchasing-policy.pdf</a>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has established the Global Human Rights Policy for Suppliers. The Policy has been implemented and made available to suppliers on the Entity's website and in the supplier approval process: <a href="https://www.nemak.com/media/3212/global-human-rights-policy.pdf">https://www.nemak.com/media/3212/global-human-rights-policy.pdf</a>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has established the 'Terms and Conditions Applicable to Products Supplied and Services Rendered to Nematik for Suppliers', taking into account the Certified ASI Performance Standard requirements for Conflict-Affected and High-Risk Areas (CAHRAs). This document has been implemented and made available to suppliers on the Entity's website and during the supplier approval process: <a href="https://www.nemak.com/media/2389/nemak-terms-and-conditions-of-purchase-22-10-01.pdf">https://www.nemak.com/media/2389/nemak-terms-and-conditions-of-purchase-22-10-01.pdf</a>
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established a Global Commercial Code for Suppliers and Terms and Conditions of Purchase, which requires Tier 1 suppliers (including Merchants) of Non-CoC Material, Recyclable Scrap Material, and CoC Material and Eligible Scrap supplied by a Merchant to submit documents and complete questionnaires related to compliance.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a Complaints Resolution Mechanism and a Global Business Code for Supplier that allows interested parties to express concerns about non-compliance with its Sustainable Purchasing Policy through the website or the Ethics Line available for every Facility. The Group provides 'pocket calendars' that are given to each of its operation in the local language that include information on how to report non-compliances. Reporting mechanisms include telephone, WhatsApp, website and email. The reporting mechanism is available at: <a href="https://secure.ethicspoint.com/domain/media/en/gui/97874/index.html">https://secure.ethicspoint.com/domain/media/en/gui/97874/index.html</a>
<b>8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity has developed and implemented a Mass Balance process as part of its Material Accounting System that accounts for Input Quantities and Output Quantities of CoC Material and Non-CoC Material by mass for the Aluminium value chain elements included in the Entity's CoC Certification Scope.

CRITERION	RATING	COMMENT
8.2 Material Accounting Period	Conformance	The Entity has developed and implemented a Mass Balance process as part of its Material Accounting System using a period no greater than twelve months, based on the calendar year.
8.3 Input and Inflow Quantities	Conformance	<p>The Entity's Management System includes a Material Accounting System that records the quantities of transboundary movements of Aluminium (received, transferred and shipped). The Inflow Quantities of each of CoC and Non-CoC Material to the Entity are recorded.</p> <p>Eligible Scrap and Input Recyclable Scrap Material Inflows are not considered in the Material Accounting System as these materials are not handled by the Entity.</p>
8.4 Output Quantities of CoC Material	Conformance	<p>The Entity's ASI CoC Procedure specifies that over a given Material Accounting Period, it will use the Input Quantities for CoC Material to determine the available Output Quantities of CoC Material, proportional to total Inflows of CoC and Non-CoC Material, by mass. These quantities are tracked using the Entity's Material Accounting System, based on its Enterprise Resource Planning (ERP) system.</p> <p>The Entity has decided to not designate Aluminium Scrap generated from processing as CoC Material.</p>
8.5 Indivisibility of CoC Material	Conformance	The Entity has implemented a Material Accounting System that calculates the Output Quantity of CoC Material for the given CoC Material Accounting Period and ensures that the Output Material must be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity, as it has decided to not designate a relevant proportion as Eligible Scrap.
8.7 Consistency Between Input Percentage and Total Output	Conformance	CoC Material Output and Input Quantities are recorded in the Entity's Material Accounting System (SAP). A report is regularly generated to ensure that over a reporting year, the Output Quantities do not proportionally exceed Input Quantities.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity plans to prevent Overdraw situations by managing CoC Material purchases with a reserve in place. The Entity has described in its ASI CoC Procedures Manual that in a Force Majeure situation, the Entity may draw down an Internal Overdraw from the subsequent Material Accounting Period, ensuring the Internal Overdraw is less than 20% of the total Input Quantity of CoC Material for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity plans to prevent Overdraw situations by managing CoC Material purchases with a reserve in place. The Entity has described in its ASI CoC Procedures Manual that in a Force Majeure situation, the Entity may draw down an Internal Overdraw from the subsequent Material Accounting Period and that the Internal Overdraw must 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 plans to prevent Overdraw situations by managing CoC Material purchases with a reserve in place. The Entity has described in its ASI CoC Procedures Manual that in a Force Majeure situation, the Entity may draw down an Internal Overdraw from the subsequent Material Accounting Period and that the Internal Overdraw must be

CRITERION	RATING	COMMENT
		made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has described in its ASI CoC Procedures Manual that in the event the Entity has a Positive Balance of CoC Material at the end of a Material Accounting Period, this may be carried over to the subsequent Material Accounting Period and reported to ASI.
8.9b Positive Balance (Expiry)	Conformance	The Entity has described in its ASI CoC Procedures Manual that a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Period must expire at the end of that Period, if not drawn down.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. No CoC Material is sent to Outsourcing Contractors. The Entity includes CoC information in the accompanying invoice to CoC Certified Entities.
9.2a CoC Document Content (Date of issue)	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. No CoC Material is sent to Outsourcing Contractors. The CoC Document includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The CoC Document includes a reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The CoC Document includes the identity, address and CoC Certification number of the Entity issuing the CoC Document.
9.2d CoC Document Content (Receiving customer)	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The CoC Document includes the identity and address of the customer receiving the CoC Material and, if another CoC Certified Entity, their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The CoC Document includes the name of the responsible employee of the Entity who can verify the CoC Document information.
9.2f CoC Document Content (Conformance statement)	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The CoC Document includes a statement that the information provided in the CoC Document complies with the ASI Chain of Custody Standard.
9.2g CoC Document Content (Type of CoC Material)	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The CoC Document includes the type of CoC Material in the shipment.
9.2h CoC Document	Conformance	A CoC Document accompanies each shipment or transfer of CoC

CRITERION	RATING	COMMENT
Content (Mass of CoC Material)		Material dispatched to other CoC Certified Entities. The CoC Document includes the Mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	A CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The CoC Document includes the total Material mass in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is not applicable as the Entity, as it does not intend to publish Sustainability Data in the CoC Documents.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable as the Entity, as it does not intend to publish Sustainability Data in the CoC Documents.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable as the Entity, as it does not intend to publish Sustainability Data in the CoC Documents.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable as the Entity, as it does not intend to publish Sustainability Data in the CoC Documents.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable as the Entity, as it does not intend to publish Sustainability Data in the CoC Documents.
9.5 Verification of Information	Conformance	The Entity has implemented an ASI CoC Policy that addresses the process for the verification of information in CoC Documents whenever requested by an Internal or External Entity. Relevant personnel have been trained on their duties under the ASI Chain of Custody Standard. The system is robust and suitable to document errors and to implement corrective actions and any potential preventive measures.
9.6 Error (Shipping)	Conformance	The Entity has integrated an error management process into its Management System. Non-conformities, root causes and corrective actions are identified and regularly monitored by the Entity's management team through the internal 'Problem Solving Procedure'.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Aluminium purchasing team, in coordination with the Nematik Smelting Centre incoming inspection team, has implemented the ASI CoC Procedure to ensure that the information listed on suppliers' Material Certificates is consistent, accurate and includes all relevant criteria.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Aluminium purchasing team, in coordination with the Nematik Smelting Centre incoming inspection team, has implemented the ASI CoC Procedure to verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System.

CRITERION	RATING	COMMENT
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Aluminium purchasing team, in coordination with the Nematik Smelting Centre incoming inspection team, has implemented the ASI CoC Procedure to review the ASI website on a regular basis to verify the validity and scope of the supplier's ASI CoC Certification and maintains the verified records in the Purchasing – Sustainability monthly spreadsheet.
10.4 Error (Reception)	Conformance	The Entity has established a procedure to manage any errors. The Entity will ensure countermeasures, 'root cause' analysis and corrective actions are implemented to avoid a recurrence. The Entity will work with suppliers to resolve issues and prevent recurrence, in accordance with the Quality Problem Solving Procedure.

## 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has defined in its ASI CoC (Mass Balance) Management System that all claims and communications must follow the ASI Claims Guide, including communication with the ASI Secretariat. The Entity's Management Representative is responsible for ensuring conformance with this requirement.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has defined in its ASI CoC Procedure, the roles and responsibilities assigned to ensure that customer claims are made in a manner consistent with the ASI Claims Guide, and that the claims and/or representations made must be supported by verifiable evidence.
11.1c Claims and Communications (Employee training)	Conformance	The Entity intends to make claims and communications about the CoC Material outside of the CoC Documents. The Entity has developed all necessary documentation, procedures and training programs in accordance with the established ASI CoC Procedure which is in turn in accordance with the ASI CoC Claims Guidelines.

### 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	23 April 2026	Initial Certification Audit – Full Certification