ASI CERTIFICATION
CHAIN OF CUSTODY STANDARD

PRESENTED TO

Shandong YuanWang Electrotechnics Co., Ltd.

CERTIFICATE NUMBER

490

ASI STANDARD

CHAIN OF CUSTODY (V2 2022)

CERTIFICATION LEVEL

FULL CERTIFICATION

ASI ACCREDITED AUDITING FIRM

SGS-CSTC STANDARDS TECHNICAL SERVICES

DATE OF ISSUE

25 JUNE 2026

DATE OF EXPIRY

24 JUNE 2029

CERTIFIED SINCE

25 JUNE 2026

AUTHORISED BY

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*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

Manufacture of electric applied Aluminium round rods and Aluminium alloy round ingots, including melting, casting, cutting and rolling processes, at Shandong YuanWang Electrotechnics Co., Ltd.

Manufacture of Aluminium alloy ingots, including melting, casting, sawing and homogenisation processes, at Shandong Chuangyuan Renewable Resources Co., Ltd.

Manufacture of Aluminium alloy wires and cables, including wire drawing, aging treatment, cold pressure welding, and stranding processes, at Shandong Hengwang Cable Co., Ltd.

Manufacture of electric applied Aluminium round rods, including melting, casting and rolling processes, at Inner Mongolia Yuanwang Metal Technology Co., Ltd.

AUDIT REPORT
CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Shandong Innovation Group Co., Ltd.
ENTITY NAME	Shandong YuanWang Electrotechnics Co., Ltd.
CERTIFICATION SCOPE	Manufacture of electric applied Aluminium round rods and Aluminium alloy round ingots, including melting, casting, cutting and rolling processes, at Shandong YuanWang Electrotechnics Co., Ltd. Manufacture of Aluminium alloy ingots, including melting, casting, sawing and homogenisation processes, at Shandong Chuangyuan Renewable Resources Co., Ltd. Manufacture of Aluminium alloy wires and cables, including wire drawing, aging treatment, cold pressure welding, and stranding processes, at Shandong Hengwang Cable Co., Ltd. Manufacture of electric applied Aluminium round rods, including melting, casting and rolling processes, at Inner Mongolia Yuanwang Metal Technology Co., Ltd.
SUPPLY CHAIN ACTIVITIES	• Aluminium Re-melting/Refining • Casthouses • Post-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	• Initial Certification Audit
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	• 15 – 20 December 2025
AUDIT REPORT SUBMISSION	• 26 December 2025
AUDIT SCOPE	The Audit Scope covers the manufacture of electric applied Aluminium round rods at Shandong YuanWang Electrotechnics Co., Ltd., manufacture of Aluminium alloy round ingots at Shandong Chuangyuan Renewable Resources Co., Ltd., manufacture of Aluminium alloy wires and cables at Shandong Hengwang Cable Co., Ltd., manufacture of electric applied Aluminium round rods at Inner Mongolia Yuanwang Metal Technology Co., Ltd. Supply chain activities included in the Audit Scope: • Aluminium Re-melting/Refining • Casthouses • Post-Casthouse All applicable criteria in the ASI Chain of Custody Standard were included in the Audit Scope.

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.
CERTIFICATION PERIOD	25 June 2026 – 24 June 2029
NEXT AUDIT TYPE	Surveillance Audit
NEXT AUDIT DUE DATE	24 December 2027
CERTIFICATE NUMBER	490
	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 YuanWang Electrotechnics Co., Ltd. (the 'Entity') is comprised of four separate Facilities – 1. Shandong YuanWang Electrotechnics Co., Ltd; 2. Shandong Chuangyuan Renewable Resources Co., Ltd.; 3. Shandong Hengwang Cable Co., Ltd.; and, 4. Inner Mongolia Yuanwang Metal Technology Co., Ltd.

Shandong YuanWang Electrotechnics Co., Ltd. is located in Binzhou, Shandong, China. It has been in operation since 2016. Supply chain activities include Aluminium Re-melting/Refining and Casthouse operations. The production processes comprise melting, casting, cutting and rolling. Its main Product is electric-grade Aluminium round rods, with an annual capacity of 600,000 tonnes. The primary destination of Products is cable manufacturers within China. Key external Stakeholders include Government authorities, commercial partners and the China Nonferrous Metals Industry Association. The Facility currently employs approximately 573 Workers, including 197 women. The total area of the Facility is 176,000 square metres. Key physical features include the production workshop for Aluminium rods used for electrical applications and associated auxiliary production facilities. Ancillary infrastructure includes Worker accommodation, car parking, and warehouses. No sensitive receptors are located within a one-kilometre radius of the Facility.

Shandong Chuangyuan Renewable Resources Co., Ltd. is located in Binzhou, Shandong, China. It has been in operation since 2021. Supply chain activities include Aluminium Re-melting/Refining and Casthouse operations. Production processes include melting, casting, sawing and homogenisation. It produces Aluminium alloy ingots, with an annual capacity of 200,000 tonnes. Products are primarily supplied to downstream processors within China. Key external Stakeholders include Government authorities and the China Nonferrous Metals Industry Association. The Facility currently employs approximately 242 Workers (employees and contractors), including 68 women. The total area of the Facility is 98,000 square metres. Key physical features include production workshops for Aluminium rods and alloy slabs and associated auxiliary facilities. Ancillary infrastructure includes Worker accommodation, car parking, and warehouses. No sensitive receptors are located within a one-kilometre radius of the Facility.

Shandong Hengwang Cable Co., Ltd. is located in Binzhou, Shandong, China. It has been in operation since 2022. Supply chain activities include Semi-Fabrication and Material Conversion. Production processes comprise wire drawing, aging treatment, cold-pressure welding and stranding. It produces Aluminium alloy wires and cables, with an annual capacity of 40,000 tonnes. Products are primarily supplied to end-users of cable Products within China. Key external Stakeholders include Government authorities, commercial partners and the China Nonferrous Metals Industry Association. The Facility currently employs approximately 248 Workers (employees and contractors), including 76 women. The total area of the Facility is 90,000 square metres. Key physical features include the wire and cable production workshop and associated auxiliary facilities. Ancillary infrastructure includes Worker accommodation, car parking, and warehouses. No sensitive receptors are located within a one-kilometre radius of the Facility.

Inner Mongolia Yuanwang Metal Technology Co., Ltd. is located in Huolinguole, Tongliao, Inner Mongolia, China. It has been in operation since 2022. Supply chain activities include Aluminium Re-melting/Refining and Casthouse operations. Production processes include melting, casting and rolling. The Entity produces electric-grade Aluminium round rods, with an annual capacity of 200,000 tonnes. Products are primarily supplied to cable manufacturers in China. Key external Stakeholders include Government authorities, commercial partners and the China Nonferrous Metals Industry Association. The Facility currently employs approximately 193 Workers, including 76 women. The total area is 32,000 square metres. Key physical features include production workshops for Aluminium rods and auxiliary facilities such as a power substation, compressed air station, and maintenance workshop. Ancillary infrastructure includes Worker accommodation, car parking, and warehouses. No sensitive receptors are located within a one-kilometre radius of the Facility.

MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

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

	OVERALL
SYSTEMS	Medium
RISKS	Medium
PERFORMANCE	Low

OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity became an ASI Member in the 'Production and Transformation' class in 2023 and is committed to complying with all obligations to ASI membership and the ASI Grievance Mechanism. Further details are available at: https://aluminium-stewardship.org/about-asi/members/Shandong-Innovation-Group-Co---Ltd-
1.2 CoC Management System	Conformance	The Entity has a Management System, including an ASI Manual, that meets all applicable requirements of the ASI Chain of Custody Standard, in all Facilities under the Entity's control
1.3 CoC Management System Monitoring	Conformance	The Entity has established an internal audit process for the CoC Management System. The Entity reviews the Management System annually in accordance with its defined procedure and addresses potential areas of non-conformance.
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. A team has been established to assist this role in the implementation of the requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established a procedure of communication and training for the ASI CoC Standard. The Entity has established an annual training plan to ensure relevant personnel are aware of and competent in their responsibilities under the ASI CoC Standard. Related training has been implemented according to training plan.
1.6 Records Management	Conformance	The Entity has established a procedure that defines that all ASI CoC Standard-related records are retained for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Not Applicable	This Criterion is not applicable to the Entity, as it is not yet required to report to the ASI Secretariat. However, the Entity has established a procedure for the reporting of information as required under the ASI CoC Standard. The Entity's reporting form includes the required information.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity, as it is not yet required to report to the ASI Secretariat. However, the Entity has established a procedure for the reporting of information as required under the ASI CoC Standard. The Entity's reporting form includes the required information.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Not Applicable	This Criterion is not applicable to the Entity, as it is not yet required to report to the ASI Secretariat. However, the Entity has established a procedure for the reporting of information as required under the ASI

CRITERION	RATING	COMMENT
		CoC Standard. The Entity's reporting form includes the required information.
1.7d Reporting to ASI (Positive Balance carried over)	Not Applicable	This Criterion is not applicable to the Entity, as it is not yet required to report to the ASI Secretariat. However, the Entity has established a procedure for the reporting of information as required under the ASI CoC Standard. The Entity's reporting form includes the required information.
1.7e Reporting to ASI (Positive Balance used)	Not Applicable	This Criterion is not applicable to the Entity, as it is not yet required to report to the ASI Secretariat. However, the Entity has established a procedure for the reporting of information as required under the ASI CoC Standard. The Entity's reporting form includes the required information.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Not Applicable	This Criterion is not applicable to the Entity, as it is not yet required to report to the ASI Secretariat. However, the Entity has established a procedure for the reporting of information as required under the ASI CoC Standard. The Entity's reporting form includes the required information.
1.7g Reporting to ASI (Intra-Entity Flows)	Minor Non-Conformance	The Entity has established a procedure for the reporting of information as required under the ASI CoC Standard. The reporting form does not however cover the Intra-Entity Flows of CoC Material.
2. OUTSOURCING CONTRACTORS		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as there are no Outsourcing Contactors that take Custody of the Entity's CoC Material. However, the Entity has established the necessary procedures for Outsourcing Contractors should they be included in the Entity's CoC Certification Scope in the future.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity, as there are no Outsourcing Contactors that take Custody of the Entity's CoC Material. However, the Entity has established the necessary procedures for Outsourcing Contractors should they be included in the Entity's CoC Certification Scope in the future.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as there are no Outsourcing Contactors that take Custody of the Entity's CoC Material. However, the Entity has established the necessary procedures for Outsourcing Contractors should they be included in the Entity's CoC Certification Scope in the future.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as there are no Outsourcing Contactors that take Custody of the Entity's CoC Material. However, the Entity has established the necessary procedures for Outsourcing Contractors should they be included in the Entity's CoC Certification Scope in the future.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity, as there are no Outsourcing Contactors that take Custody of the Entity's CoC Material. However, the Entity has established the necessary procedures for

CRITERION	RATING	COMMENT
		Outsourcing Contractors should they be included in the Entity's CoC Certification Scope in the future.
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 there are no Outsourcing Contactors that take Custody of the Entity's CoC Material. However, the Entity has established the necessary procedures for Outsourcing Contractors should they be included in the Entity's CoC Certification Scope in the future.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as there are no Outsourcing Contactors that take Custody of the Entity's CoC Material. However, the Entity has established the necessary procedures for Outsourcing Contractors should they be included in the Entity's CoC Certification Scope in the future.
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.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP		
4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	The Entity has established a system to ensure that it is producing ASI Aluminium from the Aluminium re-melters within its CoC Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity is Certified under the ASI Performance Standard, issued in February 2026.

CRITERION	RATING	COMMENT
4.2a Eligible Scrap (Pre-Consumer)	Minor Non-Conformance	The Entity has established the ASI CoC Recycled Aluminium Management Procedure, which stipulates the assessment and management of Eligible Scrap and its suppliers. Due Diligence of suppliers of Pre-Consumer and Post-Consumer Scrap is undertaken. It was identified however, that one Pre-Consumer Scrap supplier was not subject to supplier Due Diligence.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity, as it does not receive Post-Consumer Scrap due to the quality and safety requirements of its Products.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity, as it does not receive treated Aluminium from Dross or from Aluminium ash or other Aluminium-containing wastes.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has established the ASI Supplier Control Procedure and ASI Supplier Management Control Procedure, which defines the recording of Recyclable Scrap Material suppliers' relevant information. The Entity maintains its ASI CoC Eligible Scrap Supplier List.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Minor Non-Conformance	The Entity has established the ASI CoC Management Manual and Cash Payment Principle, which limits cash transactions to a maximum of $10,000. The review of documentation during the Audit confirmed that all financial transactions with direct suppliers of Recyclable Scrap Material are paid by bank transfer. Whilst training on the Entity's financial transactions requirement is provided, not all relevant personnel received the training.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's three Casthouse sites (Shandong YuanWang Electrotechnics Co., Ltd., Inner Mongolia Yuanwang Metal Technology Co., Ltd. and Shandong Chuangyuan Renewable Resources Co., Ltd.) are included in the CoC Certification Scope. All Products from these Casthouses can be traced.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity is Certified under the ASI Performance Standard, issued in February 2026.
5.1c ASI Aluminium (Aluminium sourcing)	Minor Non-Conformance	The Entity has established the ASI CoC Supplier Due Diligence Procedure that stipulates that suppliers must be assessed prior to the purchase of Aluminium raw materials. The ASI CoC Supplier Due Diligence Procedure requires confirmation of suppliers' CoC and/or PS Certificate number when purchasing ASI Aluminium from these suppliers. The Supplier Audit Form includes this information. One Liquid Aluminium supplier however was not subject to the Entity's supplier Due Diligence process.

CRITERION	RATING	COMMENT
5.2 Unique Identification	Conformance	Each Casthouse Facility has Product Code Rules, which define the requirement for the serial code for each batch of Product. For ASI Aluminium, only suppliers that are CoC Certified can carry out the input and output statistics according to the incoming batch number for traceability in the Material Accounting System.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	Each Facility within the Certification Scope engages in Post-Casthouse activities. The Entity has established a management procedure to ensure it produces ASI Aluminium only from the Facilities in the Certification Scope with Post-Casthouse activities.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity is Certified under the ASI Performance Standard, issued in February 2026
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity sources Aluminium Products from its own remelting and casting Casthouses. Aluminium rods are sourced by the Shandong Hengwang Cable Co., Ltd. site from the Shandong YuanWang Electrotechnics Co., Ltd. and Inner Mongolia Yuanwang Metal Technology Co., Ltd. sites.
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	The Entity has established a Responsible Sourcing Policy that addresses anti-Corruption, which is approved by General Manager, available at: https://innovationmetal.com/d/file/p/2025/11-15/072dec24c701fdd7ad63d5850816c799.pdf The Entity communicates the Responsible Sourcing Policy to suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material supplied through Traders.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has developed a Responsible Sourcing Policy that addresses environmental, social and governance issues, available at: https://innovationmetal.com/d/file/p/2025/11-15/072dec24c701fdd7ad63d5850816c799.pdf The Policy includes commitment to the responsible sourcing of Aluminium; opposing all forms of Corruption; respecting Human Rights; and not supporting armed conflicts or Human Rights violations in Conflict-Affected or High-Risk Areas. The Entity communicates the Responsible Sourcing Policy to suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material supplied through Traders.
7.1c Responsible Sourcing Policy (Human Rights Due Diligence)	Minor Non-Conformance	The Entity has publicly disclosed its Responsible Sourcing Policy, which addresses its commitment to Human Right Due Diligence, available at: https://innovationmetal.com/d/file/p/2025/11-15/072dec24c701fdd7ad63d5850816c799.pdf The Entity communicates the Responsible Sourcing Policy to suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material supplied through Traders. Review of documentation confirmed that

CRITERION	RATING	COMMENT
		the Entity has conducted Due Diligence on Non-CoC Material suppliers and Eligible Scrap suppliers. However, not all Aluminium suppliers had been subject to Due Diligence.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has publicly disclosed its Responsible Sourcing Policy, which addresses its commitment to Human Rights and not supporting materials from Conflict-Affected and High-Risk Areas (CAHRA), available at: https://innovationmetal.com/d/file/p/2025/11-15/072dec24c701fdd7ad63d5850816c799.pdf The Entity's suppliers sign a commitment letter confirming that there is no conflict minerals and materials are not sourced from CAHRAs.
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established an ASI CoC Supplier Due Diligence Procedure that addresses the requirement to assess the risks of non-compliance with its Responsible Sourcing Policy. The Entity has conducted supplier surveys, which cover non-compliance with environment, social and governance aspects.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a Complaints Resolution Mechanism in accordance with requirements of the ASI Performance Standard. The Complaints Mechanism is detailed in the Stakeholder Complaint and Appeal Management Procedure, available at: https://innovationmetal.com/d/file/p/2025/11-15/ba62014b53ffd11e592fb09f0b43558d.pdf
8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Mass Balance CoC Materials and ASI Aluminium Management System Procedure that accounts for raw materials and Products. The Material Accounting System (using Numerical Control 6.5 (NC 6.5)) records Input Quantity and Output Quantity of CoC Material and Eligible Scrap by mass. A barcode printing and weighing system is used for recording finished Product storage and shipment. The Entity used a CoC Material Accounting Tool (MAT) to simulate CoC Material flow. manage its Material Accounting System and incorporated the necessary elements into its NC systems.
8.2 Material Accounting Period	Conformance	The Entity has established a system (NC 6.5) to account for raw material and products. The Mass Balance CoC Materials and ASI Aluminium Management System Procedure has defined a Material Accounting Period of 12 months. (a calendar year)
8.3 Input and Inflow Quantities	Conformance	The Entity had established a set of procedures that defined that in a given Material Accounting Period, the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow to the Certification Scope will be recorded. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material shall be based on an assessment of Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	The Entity has established a Mass Balance CoC Materials and ASI Aluminium Management System Procedure that defines internal metal management, metal statistics and metal balance of material management reports. Each Facility has established an NC system to

CRITERION	RATING	COMMENT
		manage inputs and outputs, as well as the Entity's methods of calculating statistical indicators.
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a Mass Balance CoC Materials and ASI Aluminium Management System Procedure that defines the Output Quantity of CoC Material, which may be a subset of total production, is designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has established a Mass Balance CoC Materials and ASI Aluminium Management System Procedure that defines that if the Entity generates Scrap and wishes to designate the relevant proportion as Eligible Scrap, it will, for the given Material Accounting Period, use the same percentage share as for its Output of ASI Aluminium.
8.7 Consistency Between Input Percentage and Total Output	Conformance	material management reports. Each Facility has established an NC system to ensure the total CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to total input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a Mass Balance CoC Materials and ASI Aluminium Management System Procedure that defines that 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 Mass Balance CoC Materials and ASI Aluminium Management System Procedure that defines how to carry over an Internal Overdraw to the subsequent Material Accounting Period (next calendar year), where subject to a Force Majeure situation. It is included that the Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has established a Mass Balance CoC Materials and ASI Aluminium Management System Procedure that defines that the Internal Overdraw shall be made up within the subsequent Material Accounting Period. It is included that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Mass Balance CoC Materials and ASI Aluminium Management System Procedure that defines that a Positive Balance of output CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period. The procedure includes the requirement to clearly identify any carry over of a Positive Balance.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a Mass Balance CoC Materials and ASI Aluminium Management System Procedure that defines that a Positive Balance of output CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period. The procedure includes the requirement for a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.

CRITERION	RATING	COMMENT
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity had established a CoC Document Issuance Management Procedure, which defines that a CoC Document will accompany each shipment of CoC Material dispatched to other CoC Certified Entities. As this is the initial Certification Audit, there has been no CoC Material flow and no CoC Documents issued.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity had established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include the date of issue of the CoC Document. The Entity's CoC Document template includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity had established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include a reference number, which is linked to the Entity's Material Accounting System for verification purposes. The Entity's CoC Document template includes this information.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include the identity, address and CoC Certification number of the Entity. The Entity's CoC Document template includes this information.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number. The Entity's CoC Document template includes this information
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include the details for the responsible employee who can verify information in the CoC Document. Each Facility has appointed a supervisor responsible for verifying CoC Documents.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include a confirmation statement. The CoC Document information is confirmed by a supervisor who will confirm that the information provided in the CoC Document is in Conformance with the ASI CoC Standard.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity had established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include the type of CoC Material in the shipment. The Entity's CoC Document template includes this information.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity had established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include the mass of CoC Material in the shipment. The Entity's CoC Document template includes this information.

CRITERION	RATING	COMMENT
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity had established a CoC Document Issuance Management Procedure, which defines that the CoC Document will include the mass of total material in the shipment. The Entity's CoC Document template includes this information.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity had established a CoC Document Issuance Management Procedure, which defines that applicable Sustainability Data may be included in the CoC Document where applicable. The Entity's CoC Document template allows for the inclusion of the average carbon footprint of the CoC Material and accounting method applied.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide information on the origin of Aluminium. However, the Entity had established a CoC Document Issuance Management Procedure, which has defined that Sustainability Data can be included in the CoC Document where applicable.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide recycled content information. However, the Entity had established a CoC Document Issuance Management Procedure, which defines that Sustainability Data can be included in the CoC Document where applicable.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity had established a CoC Document Issuance Management Procedure, which defines that applicable Sustainability Data may be included in the CoC Document where applicable. The Entity's CoC Document template allows for inclusion of its ASI Performance Standard Certification Status.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has established a CoC Document Issuance Management Procedure, which specifies what Supplementary Information can be added to the CoC Document when such information is required.
9.5 Verification of Information	Conformance	The Entity has established a system to respond to reasonable requests from external interested parties for verification of information contained within its issued CoC Documents. The Entity has appointed several responsible employees.
9.6 Error (Shipping)	Conformance	The Entity has established a procedure that defines the process to correct any errors discovered after a CoC Material shipment. Discovered errors should be promptly reported to the receiving Business and remedied by both parties agreeing to the steps taken to correct it.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity has established the CoC Document Receipt Management Procedure, which defines that all required information in received CoC Documents has been included. As this is the initial Certification Audit, there has been no CoC Material flow and no CoC Documents received
10.2 Verification of Consistency Between CoC	Conformance	Each Facility has established a Material Accounting System (NC 6.5) to account for all raw materials and products and record the Input and

CRITERION	RATING	COMMENT
Documents and CoC Material		Output Quantities by mass. The raw materials include CoC Material and Eligible Scrap. The Entity has established the CoC Document Receipt Management Procedure, which defines that the appointed person will verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in the Material Accounting System (NC 6.5).
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established the CoC Document Receipt Management Procedure, which defines that the Facility's Business Department will monitor the ASI website quarterly to verify the validity and scope of the supplier's ASI CoC Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error (Reception)	Conformance	The Entity has established the CoC Document Receipt Management Procedure, which defines the process required to correct any error discovered after CoC Material has been received. Both the Entity and the supplying party shall 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 an ASI CoC Claim and Communication Management Procedure, which defines that any claims and communications about CoC Material should 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 an ASI CoC Claim and Communication Management Procedure, which defines that any claims and communications about CoC Material should be made in a manner and form consistent with the ASI Claims Guide and with verifiable evidence in support.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has established an ASI CoC Communication and Training Management Procedure, which requires appropriate training for relevant employees. The Audit confirmed that relevant employees understand the requirements and can communicate the claim and representations following the training. The Entity has not made any external claim or communication about ASI CoC Certification.

DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	25 June 2026	Initial Certification Audit – Full Certification