# ASI CERTIFICATION
# **CHAIN OF CUSTODY STANDARD**

PRESENTED TO

# Qinghai Qingfeng Aluminum Co., Ltd.

| CERTIFICATE NUMBER | ASI STANDARD | CERTIFICATION LEVEL | ASI ACCREDITED AUDITING FIRM |
|---|---|---|---|
| 572 | CHAIN OF CUSTODY STANDARD (V2 2022) | FULL CERTIFICATION | CHINA QUALITY MARK CERTIFICATION GROUP |
| | DATE OF ISSUE | DATE OF EXPIRY | CERTIFIED SINCE |
| | 23 JULY 2026 | 22 JULY 2029 | 23 JULY 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

The production of hot-rolled Aluminium alloy ingots at Qinghai Qingfeng Aluminum Co., Ltd., located in the Minhe Industrial Park, Minhe County, Haidong City, Qinghai Province, China.

# AUDIT REPORT
# CHAIN OF CUSTODY STANDARD

## OVERVIEW

| | |
|---|---|
| MEMBER NAME | Qinghai Qingfeng Aluminum Co., Ltd. |
| ENTITY NAME | Qinghai Qingfeng Aluminum Co., Ltd. |
| CERTIFICATION SCOPE | The production of hot-rolled Aluminium alloy ingots at Qinghai Qingfeng Aluminum Co., Ltd., located in the Minhe Industrial Park, Minhe County, Haidong City, Qinghai Province, China. |
| SUPPLY CHAIN ACTIVITIES | • Aluminium Re-melting/Refining<br>• Casthouses |
| ASI STANDARD | Chain of Custody Standard V2 |
| AUDIT TYPE | • Initial Certification Audit |
| AUDIT FIRM | China Quality Mark Certification Group |
| AUDIT DATE | • 18 – 20 May 2026 |
| AUDIT REPORT SUBMISSION | • 25 May 2026 |
| AUDIT SCOPE | The Audit Scope included the production of Aluminium alloy flat ingots at Qinghai Qingfeng Aluminum Co., Ltd., located in the Minhe Industrial Park, Minhe County, Haidong City, Qinghai Province, China.<br>The supply chain activities included in the Audit Scope:<br>• Post-Casthouse<br>All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope. |
| AUDIT OUTCOME | Certification |
| AUDIT METHODOLOGY DECLARATION | The Auditors confirm that:<br>☑ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.<br>☑ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<br>☑ 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.<br>☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective. |
| CERTIFICATION PERIOD | 23 July 2026 – 22 July 2029 |

| | |
|---|---|
| NEXT AUDIT TYPE | Surveillance Audit |
| NEXT AUDIT DUE DATE | 22 January 2028 |
| CERTIFICATE NUMBER | 572 |
| | If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: https://aluminium-stewardship.ethicspoint.com/<br><br>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.<br><br>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

Qinghai Qingfeng Aluminum Co., Ltd. (the 'Entity') operates an Aluminium Casthouse and associated Aluminium Re-Melting/Refining Facility in Haidong City, Qinghai Province, China, where operations commenced in 2014. The Entity's Corporate structure includes an Administrative Department, Finance Department, Supply and Sales Department, Production Department, Safety and Environmental Protection Department, Equipment Department and Technical Quality Department. The Entity currently employs approximately 190 Workers.

The Entity is located within the Minhe Industrial Park. The main raw material used by the Entity is electrolytic Aluminium liquid, which is sourced directly from an adjacent Aluminium smelter (Western Hydropower Aluminium Co., Ltd.) within the Industrial Park. The Entity's main projects include a 10,600 square metre ($m^2$) main workshop, a 980 $m^2$ circulating water station, a 5,000 $m^2$ material yard and 34 sets of main equipment and facilities. The Facility has a designed annual production capacity of 300,000 tonnes. The main equipment and facilities include three 75 tonne level '1 + 1 + 1 + 1 type' flat ingot production lines, one 15 tonne intermediate alloy production line and corresponding auxiliary facilities. The Entity supplies its Products to downstream entities across a range of industries in China. The nearest sensitive receptors to the Entity include a residential area, school, temple and the Huang Shui River, all within three kilometres of the Entity.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of Systems, Residual Risk and Performance.

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

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

## FINDINGS

| CRITERION | RATING | COMMENT |
|---|---|---|
| 1. MANAGEMENT SYSTEM AND RESPONSIBILITIES | | |
| 1.1 ASI Membership | Conformance | The Entity is an ASI Member and compiles with ASI membership obligations and the ASI Complaints Mechanism. The Entity obtained ASI Performance Standard Certification in November 2025 (Certificate 494). |
| 1.2 CoC Management System | Conformance | The Entity has established Systems, procedures, processes and documents in conformance with the ASI Chain of Custody Standard. Chain of Custody (CoC) related management activities are integrated into other corporate Management Systems, including the ASI Performance Management, Quality, Environmental Management and Occupational Health and Safety (OH&S) Management Systems. The Entity allocates sufficient resources including financial, human and information technology resources to implement relevant CoC tasks and activities. |
| 1.3 CoC Management System Monitoring | Conformance | The Entity regularly reviews the CoC Management System in accordance with the ASI CoC Standard requirements and practical experience and addresses non-conformities. |
| 1.4 Management Representative | Conformance | The Entity has appointed a senior management employee as the ASI Management Representative, whose responsibilities are specified in an appointment letter. This role is responsible for organising and coordinating all matters concerning applicable requirements of the ASI Performance Standard and CoC Standard. |
| 1.5 Communications and Training | Conformance | The Entity has developed an annual ASI training plan across all departments to address the relevant requirements, job responsibilities and procedures. |
| 1.6 Records Management | Conformance | The Entity stipulates that the CoC Management System records are retained for no less than five years, consistent with process records of other Management Systems, to facilitate review and traceability when necessary. |
| 1.7a Reporting to ASI (Inputs and Outputs of CoC Material) | Conformance | The Entity has established CoC management procedures that address the requirement to submit CoC related information to the ASI Secretariat by June 30 each year after the end of the calendar year. As this is the Initial Certification Audit, the Entity is not yet required to report to the ASI Secretariat, however it was demonstrated that its systems are fully capable. |
| 1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap) | Conformance | The Entity has established CoC management procedures that address the requirement to submit CoC related information to the ASI Secretariat by June 30 each year after the end of the calendar year. As this is the Initial Certification Audit, the Entity is not yet required to report to the ASI Secretariat, however it was demonstrated that its systems are fully capable. |
| 1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material) | Conformance | The Entity has established CoC management procedures that address the requirement to submit CoC related information to the ASI Secretariat by June 30 each year after the end of the calendar year. |

| CRITERION | RATING | COMMENT |
|---|---|---|
| | | As this is the Initial Certification Audit, the Entity is not yet required to report to the ASI Secretariat, however it was demonstrated that its systems are fully capable. |
| 1.7d Reporting to ASI (Positive Balance carried over) | Conformance | The Entity has established CoC management procedures that address the requirement to submit CoC related information to the ASI Secretariat by June 30 each year after the end of the calendar year. As this is the Initial Certification Audit, the Entity is not yet required to report to the ASI Secretariat, however it was demonstrated that its systems are fully capable. |
| 1.7e Reporting to ASI (Positive Balance used) | Conformance | The Entity has established CoC management procedures that address the requirement to submit CoC related information to the ASI Secretariat by June 30 each year after the end of the calendar year. As this is the Initial Certification Audit, the Entity is not yet required to report to the ASI Secretariat, however it was demonstrated that its systems are fully capable. |
| 1.7f Reporting to ASI (Internal Overdraw drawn down) | Conformance | The Entity has established CoC management procedures that address the requirement to submit CoC related information to the ASI Secretariat by June 30 each year after the end of the calendar year. As this is the Initial Certification Audit, the Entity is not yet required to report to the ASI Secretariat, however it was demonstrated that its systems are fully capable. |
| 1.7g Reporting to ASI (Intra-Entity Flows) | Conformance | The Entity has established CoC management procedures that address the requirement to submit CoC related information to the ASI Secretariat by June 30 each year after the end of the calendar year. As this is the Initial Certification Audit, the Entity is not yet required to report to the ASI Secretariat, however it was demonstrated that its systems are fully capable. |
| 2. OUTSOURCING CONTRACTORS | | |
| 2.1 Certification Scope | Not Applicable | This Criterion is not applicable to the Entity, as it does not engage Outsourced Contractors. |
| 2.2a Control of CoC Material (Legal ownership or control) | Not Applicable | This Criterion is not applicable to the Entity, as it does not engage Outsourced Contractors. |
| 2.2b Control of CoC Material (No further outsourcing) | Not Applicable | This Criterion is not applicable to the Entity, as it does not engage Outsourced Contractors. |
| 2.2c Control of CoC Material (Risk assessment) | Not Applicable | This Criterion is not applicable to the Entity, as it does not engage Outsourced Contractors. |
| 2.3 Information on Quantity of CoC Material Output and Returned | Not Applicable | This Criterion is not applicable to the Entity, as it does not engage Outsourced Contractors. |
| 2.4 Consistency in Inflow and Outflow Quantity of | Not Applicable | This Criterion is not applicable to the Entity, as it does not engage Outsourced Contractors. |

| CRITERION | RATING | COMMENT |
|---|---|---|
| CoC Material to/from Outsourcing Contractor | | |
| 2.5 Error (Outsourcing Contractor) | Not Applicable | This Criterion is not applicable to the Entity, as it does not engage Outsourced 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. |
| 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) | Not Applicable | This Criterion is not applicable to the Entity, as it does not receive Recyclable Scrap Material. |
| 4.1b Recycled Aluminium (Performance Standard) | Not Applicable | This Criterion is not applicable to the Entity, as it does not receive Recyclable Scrap Material. |
| 4.2a Eligible Scrap (Pre-Consumer) | Not Applicable | This Criterion is not applicable to the Entity, as it does not receive Recyclable Scrap Material. |
| 4.2b Eligible Scrap (Post-Consumer) | Not Applicable | This Criterion is not applicable to the Entity, as it does not receive Recyclable Scrap Material. |
| 4.2c Eligible Scrap (Dross) | Not Applicable | This Criterion is not applicable to the Entity, as it does not receive Recyclable Scrap Material. |

| 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, as it does not receive Recyclable Scrap Material. |
| 4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions) | Not Applicable | This Criterion is not applicable to the Entity, as it does not receive Recyclable Scrap Material. |
| 5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM | | |
| 5.1a ASI Aluminium (CoC Certification Scope) | Conformance | The Entity has established an ASI CoC Management System, which covers the remelted Aluminium ingot smelting and casting workshop, which produces Aluminium alloy flat ingots by casting electrolytic Aluminium liquid supplied by the Western Hydropower Aluminium Co., Ltd. The facilities for producing Aluminium alloy flat ingots are included within the Entity's ASI CoC Certification Scope. The Entity does not purchase any externally sourced ASI Aluminium. |
| 5.1b ASI Aluminium (Performance Standard) | Conformance | The Entity's ASI Performance Standard Certification is consistent with this CoC Certification Scope, covering the production process of Aluminium alloy flat ingots. |
| 5.1c ASI Aluminium (Aluminium sourcing) | Conformance | The Entity's smelting and casting branch casts Aluminium alloy flat ingots with electrolytic Aluminium liquid produced by the Western Hydropower Aluminium Co., Ltd. The Entity has implemented a system to ensure ASI Aluminium is only produced by the Entity, however it currently only purchases Aluminium from a non-CoC Certified Entity. |
| 5.2 Unique Identification | Conformance | For traceability purposes, the Entity's Production Department has established a material accounting and identification system, ensuring unique identification codes for ASI Products. The melting batch number, furnace number, specification and weight are marked on Aluminium ingots and circulated together with the Products. Relevant proportions and quantities are recorded in production reports and, as relevant, linked to the Input Quantity of CoC Materials in the corresponding accounting period for material reconciliation. |
| 6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM | | |
| 6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 6.1b Post-Casthouse ASI Aluminium (Performance Standard) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |

| CRITERION | RATING | COMMENT |
|---|---|---|
| 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 disclosed its latest Responsible Procurement Policy, available at: http://www.qingfengly.com/nd.jsp?id=30<br><br>The Entity has established both the Procurement Control Procedure and Anti-Bribery Management Procedure. The Entity engages with suppliers of Aluminium including Non-CoC Material, recycled Scrap, and CoC Materials sourced via Traders and communicates its Policy to all relevant suppliers through contractual provisions.<br><br>Prior to conducting procurement activities, the Entity conducts thorough Due Diligence and assessment of suppliers, considering quality factors and verifying suppliers' compliance with Environmental, Social and Governance (ESG) requirements applicable to its operations. |
| 7.1b Responsible Sourcing Policy (Responsible sourcing) | Conformance | The Entity has disclosed its latest Responsible Procurement Policy, available at: http://www.qingfengly.com/nd.jsp?id=30<br><br>The Entity conducts annual re-evaluation of suppliers, assessing ASI-related ESG risks, to ensure all suppliers fully comply with the Entity's ASI Policies. For the procurement of major raw materials and auxiliary materials, the Entity implements independent purchasing after the Group confirms designated suppliers and unified pricing. The Entity is responsible for assessing relevant suppliers, developing responsible procurement objectives, incorporating sustainability factors into contracts, and clarifying requirements such as supplier qualification documents and evaluation criteria. |
| 7.1c Responsible Sourcing Policy (Human rights due diligence) | Conformance | The Entity has disclosed its latest Responsible Procurement Policy, available at: http://www.qingfengly.com/nd.jsp?id=30<br><br>The Policy addresses the requirement for Human Rights Due Diligence, which covers risk assessment, risk mitigation and complaints mechanisms for risks in its Aluminium supply chain. Suppliers are fully assessed in accordance with the Procurement Control Procedures, and relevant contracts incorporate anti-Bribery, Human Rights and environmental standards. The Entity reviews relevant procedures annually and revises its Human Rights Due Diligence practices in the event of corporate changes or control deficiencies. No such situation has occurred to date. |
| 7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas) | Conformance | The Entity has disclosed its latest Responsible Procurement Policy, available at: http://www.qingfengly.com/nd.jsp?id=30<br><br>The Policy addresses the requirement for the assessment of potential Conflict-Affected and High-Risk Areas (CAHRAs). Suppliers are assessed in advance in accordance with the Procurement Control Procedures. The Entity does not cooperate with suppliers located in CAHRAs. |
| 7.2 Risk Assessment and Mitigation | Conformance | Based on the Responsible Procurement Policy, the Entity has established a supplier management procurement framework involving risk assessment and confirmation procedures. It conducts risk assessments on direct ('first-tier') suppliers including Traders of Non-CoC and CoC Material, documents assessment findings, and implements appropriate mitigation measures against identified adverse impacts. The Entity currently purchases only Non-CoC |

| CRITERION | RATING | COMMENT |
|---|---|---|
| | | Material. Due Diligence and risk assessments have been performed on all suppliers, and all are rated as low risk. The assessment scope covers Human Rights Due Diligence. |
| 7.3 Complaints Resolution Mechanism | Conformance | The Entity has established a mechanism to address complaints and concerns related to ASI matters. It collects, processes and responds to complaints from all Stakeholders, and conducts follow-up for improvement. The Entity accepts inquiries, complaints and appeals from all parties through publicly disclosed contact numbers and other means. The Complaints Resolution Mechanism is disclosed at: http://www.qingfengly.com/nd.jsp?id=32 |
| 8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM | | |
| 8.1 Material Accounting System | Conformance | The Entity has established a Material Accounting System to ensure that within the Certification Scope, the total Output of CoC Material and Eligible Scrap does not exceed the Input proportion during the Material Accounting Period.<br>As this is the initial Certification Audit, the Entity has not yet traded CoC Material. |
| 8.2 Material Accounting Period | Conformance | The Entity's ASI Management Manual specifies the accounting cycle as January to December each year, and statistics in the ASI Material Balance Reconciliation Form are also conducted on a calendar-year basis. |
| 8.3 Input and Inflow Quantities | Conformance | The Entity has established a Material Accounting System that can record the Input Quantity of each CoC Material and Recyclable Scrap Material as well as the Inflow Quantity of Non-CoC Material and Recyclable Scrap. The Inflow volume of Recyclable Scrap is determined based on the assessment of Aluminium content. No CoC Material is available in the Entity's supply chain at the time of this Audit. |
| 8.4 Output Quantities of CoC Material | Conformance | The Entity has established a Material Accounting System. During the Material Accounting Period, the Input Percentage of CoC Material equals the Input volume of CoC Material divided by the total input volume of CoC and Non-CoC Material. The Output volume of CoC Material is calculated based on Input Percentage. |
| 8.5 Indivisibility of CoC Material | Conformance | The Entity's ASI Management Manual specifies that even if the Output Quantity of CoC Material only accounts for part of the total production volume, it is classified as 100% CoC Material. |
| 8.6 Output Quantity of Eligible Scrap | Conformance | The Entity's ASI Management Manual specifies that for Internal Process Scrap intended to be designated as Eligible Scrap, it shall adopt the same percentage to determine the Output volume of ASI Aluminium during the Material Accounting Period. |
| 8.7 Consistency Between Input Percentage and Total Output | Conformance | The Entity's ASI Management Manual specifies that the total Output of CoC Material and/or Eligible Scrap shall not exceed the Input Percentage during the Material Accounting Period. |

| CRITERION | RATING | COMMENT |
| --- | --- | --- |
| 8.8a Internal Overdraw (Not exceed 20%) | Conformance | The Entity's ASI Management Manual specifies that an Internal Overdraw shall not exceed 20% of the total Input Quantity of CoC Material within the Accounting Period. |
| 8.8b Internal Overdraw (Not exceed force majeure situation) | Conformance | The Entity's ASI Management Manual specifies that an Internal Overdraw shall not exceed the quantity of CoC Material affected by a Force Majeure situation. |
| 8.8c Internal Overdraw (Made up within subsequent Material Accounting Period) | Conformance | The Entity's ASI Management Manual specifies that an Internal Overdraw will be offset in the subsequent Material Accounting Period. |
| 8.9a Positive Balance (Carry over) | Conformance | The Entity's ASI Management Manual specifies that any Positive Balance of CoC Material at the end of an Accounting Period may be carried forward to the next period, which shall be identified and marked in the Material Accounting System. |
| 8.9b Positive Balance (Expiry) | Conformance | The Entity's ASI Management Manual specifies that any Positive Balances carried forward from one Accounting Period to the next shall expire at the end of the subsequent Period if unused. |
| 9. ISSUING COC DOCUMENTS | | |
| 9.1 CoC Document | Conformance | The Entity's ASI Management Manual requires a CoC Document to be delivered with every batch of CoC Material to other CoC-Certified Entities or Traders.<br>As this is the initial Certification Audit, the Entity has not yet traded CoC Material and no CoC Documents have been issued. |
| 9.2a CoC Document Content (Date of issue) | Conformance | The Entity's CoC Document template includes the date of issue of the CoC Document. |
| 9.2b CoC Document Content (Reference number) | Conformance | The Entity's CoC Document template includes a reference number for the CoC Document, which is linked to the Material Accounting System. |
| 9.2c CoC Document Content (Issuing Entity) | Conformance | The Entity's ASI Management Manual specifies that CoC Documents must contain the name, address and CoC Certification number of the Entity. |
| 9.2d CoC Document Content (Receiving customer) | Conformance | The Entity's ASI Management Manual specifies that CoC Documents must include the name and address of the receiving customer, and its CoC Certification number if the customer is a CoC Certified Entity. |
| 9.2e CoC Document Content (Responsible employee) | Conformance | The Entity's ASI Management Manual specifies that CoC Documents must include detailed information of the person in charge, who can verify all relevant information prior to issuance to customers. |
| 9.2f CoC Document Content (Conformance statement) | Conformance | The Entity's ASI Management Manual specifies that CoC Documents must contain a confirmation statement stating that all information provided therein complies with the ASI CoC Standard. |

| CRITERION | RATING | COMMENT |
|---|---|---|
| 9.2g CoC Document Content (Type of CoC Material) | Conformance | The Entity's ASI Management Manual specifies that CoC Documents must specify the types of CoC Material contained in the shipment. |
| 9.2h CoC Document Content (Mass of CoC Material) | Conformance | The Entity's ASI Management Manual specifies that CoC Documents must include the total quantity of shipped CoC Material. |
| 9.2i CoC Document Content (Mass of total material) | Conformance | The Entity's ASI Management Manual specifies that CoC Documents must include the total quantity of the shipped goods. |
| 9.3a Sustainability Data (optional) - Carbon footprint | Conformance | The Entity's ASI Management Manual specifies that CoC Documents shall include relevant Sustainability Data, such as the average carbon footprint of CoC Material and the accounting methods used. |
| 9.3b Sustainability Data (optional) - Origin information | Conformance | The Entity's ASI Management Manual specifies that CoC Documents shall include relevant Sustainability Data, including information on its Aluminium sources in accordance with Criterion 9.8 of the ASI Performance Standard. |
| 9.3c Sustainability Data (optional) - Recycled content | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 9.4 Supplementary Information (optional) - Objective evidence | Conformance | The Entity's ASI Management Manual specifies that any Supplementary Information on the Entity or CoC Material contained in the CoC Document must be supported by Objective Evidence, including ISO Standards, ASI certificates, packing lists and other relevant documents. |
| 9.5 Verification of Information | Conformance | The Entity's ASI Management Manual specifies that the Entity is obligated to respond to requests for verification of information within CoC Documents and provide relevant support. Relevant procedures have been established and designated personnel assigned. |
| 9.6 Error (Shipping) | Conformance | The Entity's ASI Management Manual and Improvement Control Procedure require in the event of an error, that root causes are analysed and corrective actions implemented to correct the error and prevent a recurrence. |
| 10. RECEIVING COC DOCUMENTS | | |
| 10.1 Verification of CoC Documents | Conformance | The Entity has established procedures to ensure the required information in received CoC Documents is verified as included and to define the verification responsibilities.<br>As this is the initial Certification Audit, the Entity has not yet traded CoC Material and no CoC Documents have been received. |

| CRITERION | RATING | COMMENT |
|---|---|---|
| 10.2 Verification of Consistency Between CoC Documents and CoC Material | Conformance | The Entity's ASI Management Manual specifies that upon receiving CoC Material it must verify that the received CoC Document is consistent with the accompanying CoC Material or Eligible Scrap prior to material accounting and registration. |
| 10.3 Verification of Supplier's ASI CoC Certification | Conformance | The Entity has established procedures to verify its suppliers' ASI CoC Certification Status. The Entity's Supply and Marketing Department is responsible to monitor the ASI website quarterly to confirm suppliers' ASI CoC qualifications. Currently, the Entity has no suppliers with ASI CoC Certification. |
| 10.4 Error (Reception) | Conformance | The Entity has established procedures to analyse the causes of non-conformities and implements relevant corrective actions by integrating the ASI Performance Standard Management System and Quality Management System to prevent recurrence. |
| 11. CLAIMS AND COMMUNICATIONS | | |
| 11.1a Claims and Communications (ASI Claims Guide) | Conformance | The Entity's ASI Management Manual and ASI Statement Management Procedure requires that all statements made comply with the relevant ASI Standards and be consistent with the ASI Claims Guide. The relevant responsibilities and authorities are defined. No statements have been made to date that are inconsistent with the ASI Claims Guide. |
| 11.1b Claims and Communications (Verifiable evidence) | Conformance | The Entity's ASI Management Manual requires that all statements made are supported by verifiable evidence. |
| 11.1c Claims and Communications (Employee training) | Conformance | The Entity has provided employees with training on the ASI Chain of Custody Standards and the ASI Claims Guide and has retained relevant training records. |

## ASI LIMITATION OF LIABILITY DISCLAIMER



## DOCUMENT CONTROL AND VERSION HISTORY

| REVISION | DATE | NOTES |
|---|---|---|
| 0 | 23 July 2026 | Initial Certification Audit – Full Certification |