

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# OTTO FUCHS KG DEPARTMENT B9 EXTRUSIONS (SCHÜCO PRODUCTS)

CERTIFICATE  
NUMBER

308

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

GUTCERT  
(AFNOR  
GROUP)

DATE OF ISSUE

5 SEPTEMBER 2023

DATE OF EXPIRY

31 MAY 2028

CERTIFIED SINCE

5 SEPTEMBER 2023

AUTHORISED BY

A stylized, handwritten signature in white ink, consisting of a large, flowing 'A' followed by a horizontal line.

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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](http://www.aluminium-stewardship.org)**

CERTIFICATION SCOPE

OTTO FUCHS KG Department B9 Extrusions:  
Extruded profiles as well as assembled profiles for  
the customer Schüco International KG.

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

|                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|-------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| MEMBER NAME                   | OTTO FUCHS KG & Schüco International KG                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| ENTITY NAME                   | OTTO FUCHS KG Department B9 Extrusions (Schüco Products)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| CERTIFICATION SCOPE           | OTTO FUCHS KG Department B9 Extrusions: Extruded profiles as well as assembled profiles for the customer Schüco International KG.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| SUPPLY CHAIN ACTIVITIES       | <ul style="list-style-type: none"><li>• Post-Casthouse</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| ASI STANDARD                  | <ul style="list-style-type: none"><li>• Chain of Custody Standard V1</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| AUDIT TYPE                    | <ul style="list-style-type: none"><li>• Initial Certification Audit</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| AUDIT FIRM                    | GUTcert (AFNOR Group)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| AUDIT DATE                    | <ul style="list-style-type: none"><li>• 26 – 30 September 2022</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| AUDIT REPORT SUBMISSION       | <ul style="list-style-type: none"><li>• 12 July 2023</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| AUDIT SCOPE                   | <p>The audit scope covers production of extruded aluminium profiles in production area "B9" for customer Schüco, a subsidiary of OTTO FUCHS. As OTTO FUCHS's own casthouse is not yet in scope, the Aluminium for ASI material produced in B9 will be sourced from external ASI CoC Certified suppliers.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Post-Casthouse</li></ul> <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>                                                                                                    |
| AUDIT OUTCOME                 | <ul style="list-style-type: none"><li>• Certification</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| AUDIT METHODOLOGY DECLARATION | <p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.</li></ul> |

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

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| CERTIFICATION PERIOD | 5 September 2023 – 31 May 2028 |
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|-----------------|------------------------|
| NEXT AUDIT TYPE | Re-Certification Audit |
|-----------------|------------------------|

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| NEXT AUDIT DUE DATE | 31 May 2028 |
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| CERTIFICATION NUMBER | 308 |
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## SUMMARY OF FINDINGS

| CRITERION                                  | RATING      | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|--------------------------------------------|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 MANAGEMENT SYSTEM AND RESPONSIBILITIES   |             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 1.1 ASI membership                         | Conformance | <p>The Entity is a member of ASI. For further information please check the ASI website <a href="#">ASI Audit Report Otto Fuchs KG Certificate 307 PS Rev 1</a></p> <p>OTTO FUCHS is an international company in the non-ferrous metals industry and manufactures a broad range of semi-finished and end products.</p> <p>Note: The scope of this Chain of Custody Certification is limited to the manufacture of extruded Aluminium profiles for the company's subsidiary Schüco International KG.</p>              |
| 1.2 Management system                      | Conformance | <p>The Entity's integrated Management System has been designed to specify the internal processes as well as competencies and responsibilities to ensure compliance with all applicable requirements of the ASI Chain of Custody Standard.</p>                                                                                                                                                                                                                                                                       |
| 1.3 Management system reviews              | Conformance | <p>The Entity has established a mechanism for the periodic review and update of the Chain of Custody Management System, in line with the other facets of its integrated Management System. An initial management review of the newly implemented ASI Management System was conducted prior to the initial Certification Audit.</p> <p>Due to the lack of actual Chain of Custody material processed at the time of this initial Audit, a formal first review was limited of the Chain of Custody system design.</p> |
| 1.4 Management representative              | Conformance | <p>The Entity's CEO is in charge of the implementation and compliance of the ASI Chain of Custody requirements. Within the Entity, an ASI manager assists in the implementation of the ASI Chain of Custody Standard. Each role and responsibilities are defined in writing and are communicated within the Entity.</p>                                                                                                                                                                                             |
| 1.5 Training                               | Conformance | <p>The Entity has prepared and conducted Chain of Custody specific training for relevant personnel and has planned the Chain of Custody related communication to all employees.</p>                                                                                                                                                                                                                                                                                                                                 |
| 1.6 Record keeping                         | Conformance | <p>The Entity has implemented a procedure to maintain records covering all applicable requirements of the ASI Chain of Custody Standard for at least five years.</p>                                                                                                                                                                                                                                                                                                                                                |
| 1.7a Reporting to ASI (Inputs and Outputs) | Conformance | <p>The provisions of the Entity for annual reporting to the ASI Secretariat are documented in a procedure. They</p>                                                                                                                                                                                                                                                                                                                                                                                                 |

| CRITERION                                              | RATING         | COMMENT                                                                                                                                                                                                                                                                                  |
|--------------------------------------------------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                        |                | are suitable and appear to be robust. Reporting will include Input and Output Quantities of Chain of Custody Materials over the calendar year.                                                                                                                                           |
| 1.7b Reporting to ASI (Input Percentage)               | Conformance    | The provisions of the Entity for annual reporting to the ASI Secretariat are documented in a procedure. They are suitable and appear to be robust. Reporting will include Input and Output Quantities of Chain of Custody Materials over the calendar year.                              |
| 1.7c Reporting to ASI (Positive Balance)               | Conformance    | The provisions of the Entity for annual reporting to the ASI Secretariat are suitable and appear to be robust. Reporting will include the maximum Positive Balance in the calendar year carried over to the subsequent Material Accounting Period, if any.                               |
| 1.7d Reporting to ASI (Internal Overdraw)              | Conformance    | The provisions of the Entity for annual reporting to the ASI Secretariat are suitable and appear to be robust. Reporting will include the maximum Internal Overdraw within the calendar year, if any, and the percentage of Input Quantity of Chain of Custody material this represents. |
| 1.7e Reporting to ASI (Eligible Scrap)                 | Not Applicable | This Criterion is not applicable to the Entity, as it is not engaged in Aluminium Re-melting/Refining.                                                                                                                                                                                   |
| 1.7f Reporting to ASI (ASI Credits from Casthouses)    | Not Applicable | This Criterion is not applicable to the Entity, as it is not engaged in producing Casthouse products.                                                                                                                                                                                    |
| 1.7g Reporting to ASI (ASI Credits purchased)          | Not Applicable | This Criterion is not applicable to the Entity, as it does not use or intend to use ASI Market Credits.                                                                                                                                                                                  |
| 2 OUTSOURCING CONTRACTORS                              |                |                                                                                                                                                                                                                                                                                          |
| 2.1 Outsourcing Contractors in CoC Certification Scope | Not Applicable | This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.                                                                                                                                                 |
| 2.2a Control of CoC Material                           | Not Applicable | This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.                                                                                                                                                 |
| 2.2b No further outsourcing                            | Not Applicable | This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.                                                                                                                                                 |
| 2.2c Risk assessment                                   | Not Applicable | This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.                                                                                                                                                 |
| 2.3 Output Quantity                                    | Not Applicable | This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.                                                                                                                                                 |

| CRITERION                                                                       | RATING         | COMMENT                                                                                                                                  |
|---------------------------------------------------------------------------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------|
| 2.4 Verification and record-keeping                                             | Not Applicable | This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope. |
| 2.5 Error management                                                            | Not Applicable | This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope. |
| 3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL |                |                                                                                                                                          |
| 3.1a CoC Certification Scope - Bauxite Mining                                   | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 3.1b ASI Performance Standard - Bauxite Mining                                  | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 3.2a CoC Certification Scope - Alumina Refining                                 | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 3.2b ASI Performance Standard - Alumina Refining                                | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 3.3a CoC Certification Scope - Aluminium Smelting                               | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 3.3b ASI Performance Standard - Aluminium Smelting                              | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL          |                |                                                                                                                                          |
| 4.1a CoC Certification Scope - Aluminium Re-Melting/Refining                    | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 4.1b ASI Performance Standard - Aluminium Re-Melting/Refining                   | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 4.2a Pre-Consumer Scrap and Dross                                               | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 4.2b Post-Consumer Scrap                                                        | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 4.3a Supplier records                                                           | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 4.3b Cash payments                                                              | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM                                        |                |                                                                                                                                          |
| 5.1a CoC Certification Scope - Casthouses                                       | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |
| 5.1b ASI Performance Standard - Casthouses                                      | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                    |

| CRITERION                                                                | RATING         | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------------------------------------------------------------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 5.2 Casthouse Products                                                   | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM                             |                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 6.1a CoC Certification Scope - Post-Casthouse                            | Conformance    | The Entity has implemented a process to ensure that ASI Aluminium is only produced by the audited Entity (Department B9 – 'Schüco Products'). ASI material is sourced especially for this purpose.                                                                                                                                                                                                                                                                                                                                       |
| 6.1b ASI Performance Standard - Post-Casthouse                           | Conformance    | The Entity is a production department of OTTO FUCHS KG in Meinerzhagen, whose Post-Casthouse activities have been audited against the ASI Performance Standard in parallel with the initial Certification Audit of the Entity against the ASI Chain of Custody Standard.<br>For more information see the ASI member website: <a href="https://aluminium-stewardship.org/about-asi/asi-members/otto-fuchs-kg-schueco-international-kg">https://aluminium-stewardship.org/about-asi/asi-members/otto-fuchs-kg-schueco-international-kg</a> |
| 6.1c Sourcing ASI Aluminium                                              | Conformance    | At the time of the Audit, no ASI Aluminium was being sourced. Sourcing of ASI Aluminium will be directly from another ASI CoC Certified Entity, traceability is ensured by the Entity's IT system and additional checks.                                                                                                                                                                                                                                                                                                                 |
| 7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL         |                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 7.1a Responsible sourcing policy (anti-corruption)                       | Conformance    | The Entity has communicated its supplier Code of Conduct to all suppliers. The Code contains an Anti-Corruption requirement (in section 3.1). The Code is publicly available at: <a href="https://www.otto-fuchs.com/en/company/purchasing-supplier-portal.html">https://www.otto-fuchs.com/en/company/purchasing-supplier-portal.html</a>                                                                                                                                                                                               |
| 7.1b Responsible sourcing policy (responsible sourcing)                  | Conformance    | The Entity has communicated its supplier Code of Conduct to all suppliers. The Code contains a responsible sourcing requirement (in section 4.2). The Code is publicly available at: <a href="https://www.otto-fuchs.com/en/company/purchasing-supplier-portal.html">https://www.otto-fuchs.com/en/company/purchasing-supplier-portal.html</a>                                                                                                                                                                                           |
| 7.1c Responsible sourcing policy (human rights due diligence)            | Conformance    | The Entity has communicated its supplier Code of Conduct to all suppliers. The Code contains a Human Rights Due Diligence requirement (in section 3.1).                                                                                                                                                                                                                                                                                                                                                                                  |
| 7.1d Responsible sourcing policy (conflict affected and high risk areas) | Conformance    | The Entity has communicated its supplier Code of Conduct to all suppliers. The Code contains a requirement regarding Conflict-Affected and High-Risk Areas (page 5).                                                                                                                                                                                                                                                                                                                                                                     |
| 7.2 Risk assessment                                                      | Conformance    | The Entity has defined a risk assessment process for its suppliers. In a documented procedure, the methodology is defined. Based on the result of the assessment, further information is obtained to determine how to proceed with a supplier.                                                                                                                                                                                                                                                                                           |

| CRITERION                                             | RATING         | COMMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-------------------------------------------------------|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 7.3 Complaints mechanism                              | Conformance    | The Entity has a system in place to receive and handle feedback, including complaints and grievances of Stakeholders. The mechanism can be accessed via the Entity's website at <a href="https://www.otto-fuchs.com/de/verantwortung/compliance.html">https://www.otto-fuchs.com/de/verantwortung/compliance.html</a> . All concerns raised via this mechanism are received by an independent ombudsperson (a lawyer), who ensures confidentiality and anonymity, if requested. |
| 8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM |                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 8.1 Material Accounting System                        | Conformance    | The Entity's Management System includes a Material Accounting System that records the Input Quantity and Output Quantity of Chain of Custody material and non-Chain of Custody material, by mass. The Material Accounting System is incorporated into the Entity's enterprise resource planning system.                                                                                                                                                                         |
| 8.2a Post-Consumer Scrap                              | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                                                                                                                                                                                                                                                                                                                                                           |
| 8.2b Pre-Consumer Scrap (total)                       | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                                                                                                                                                                                                                                                                                                                                                           |
| 8.2c Pre-Consumer Scrap (Eligible Scrap)              | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                                                                                                                                                                                                                                                                                                                                                           |
| 8.3 Material Accounting Period                        | Conformance    | The Entity has specified in writing, that the Material Accounting Period in the Entity's Material Accounting System is 12 months starting from the first day of the calendar year.                                                                                                                                                                                                                                                                                              |
| 8.4 Input Percentage                                  | Conformance    | The Entity calculates and records the Input Percentage using the appropriate formula. Units in the numerator and the denominator are the same. At the time of this initial Certification Audit, actual ASI Chain of Custody material was not yet handled by the Entity.                                                                                                                                                                                                         |
| 8.5 Input Percentage (Aluminium Re-Melting/Refining)  | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                                                                                                                                                                                                                                                                                                                                                           |
| 8.6 Output Quantity determination                     | Conformance    | The Entity has specified in a procedure to use the Input Percentage for the Material Accounting Period to determine the Output Quantity of Chain of Custody material, by mass. At the time of the Audit, actual ASI Chain of Custody material was not yet handled by the Entity.                                                                                                                                                                                                |
| 8.7 Output Quantity designation                       | Conformance    | As written in the Entity's procedure, the Entity has specified that the Output Quantity of Chain of Custody material is designated as 100% Chain of Custody material. At the time of the Audit, actual ASI Chain of Custody material was not yet handled by the Entity.                                                                                                                                                                                                         |

| CRITERION                                             | RATING         | COMMENT                                                                                                                                                                                                                                                                                                                                                             |
|-------------------------------------------------------|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 8.8 Output Quantity – Pre-Consumer Scrap              | Not Applicable | This Criterion does not apply to the Entity, as it does not designate any Pre-Consumer Scrap from its processing as Eligible Scrap.<br>(The 'coverage principle' is applied, which means that for all ASI Aluminium as Output, a matching quantity of ASI Aluminium is sourced).                                                                                    |
| 8.9 Outputs not exceed Inputs                         | Conformance    | The Entity has implemented a documented procedure to check that the total Output of Chain of Custody material does not proportionally exceed the Input Percentage as applied to the total Input of Chain of Custody material over the Material Accounting Period. At the time of the Audit, actual ASI Chain of Custody material was not yet handled by the Entity. |
| 8.10a Internal Overdraws (not exceed 20%)             | Conformance    | The Entity's Material Accounting System is designed to ensure that max. 20% overdraw of the total Input Quantity of Chain of Custody material will happen within the Material Accounting Period in case of Force Majeure. At the time of the audit, actual ASI Chain of Custody material was not yet handled by the Entity.                                         |
| 8.10b Internal Overdraws (not exceed affected amount) | Conformance    | The Entity's Material Accounting System is designed to ensure the Internal Overdraw will not exceed the amount of Chain of Custody material affected by the Force Majeure situation.                                                                                                                                                                                |
| 8.10c Internal Overdraws (period to make up)          | Conformance    | The Entity's Material Accounting System is designed to ensure that the Internal Overdraw will be made up within the subsequent Material Accounting Period.                                                                                                                                                                                                          |
| 8.11a Positive Balance (carry over)                   | Conformance    | The Entity's Material Accounting System is designed to ensure any carry over of a Positive Balance is identified.                                                                                                                                                                                                                                                   |
| 8.11b Positive Balance (expiry)                       | Conformance    | The Entity's Material Accounting System is designed to carry over a Positive Balance of Output Chain of Custody material to the subsequent Material Accounting Period and this quantity will expire at the end of that period if not drawn down.                                                                                                                    |
| 9 ISSUING COC DOCUMENTS                               |                |                                                                                                                                                                                                                                                                                                                                                                     |
| 9.1 Shipments and transfers                           | Conformance    | The Entity has established a process to ensure that a Chain of Custody Document is issued for the shipments or transfers of Chain of Custody material on a monthly basis.                                                                                                                                                                                           |
| 9.2a Date of issue                                    | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes the date of issue.                                                                                                                                                                                                                                                            |
| 9.2b Reference number                                 | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes a reference number.                                                                                                                                                                                                                                                           |

| CRITERION                                    | RATING         | COMMENT                                                                                                                                                                                                                              |
|----------------------------------------------|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 9.2c Issuing Entity                          | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes the identity, address and Chain of Custody certification number of the issuer.                                                                 |
| 9.2d Receiving customer                      | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes the identity, address and Chain of Custody certification number of the receiving Entity.                                                       |
| 9.2e Responsible employee                    | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes the name of the responsible employee.                                                                                                          |
| 9.2f Conformance statement                   | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes a statement stating that 'The information provided in the Chain of Custody Document is in Conformance with the ASI Chain of Custody Standard.' |
| 9.2g Type of CoC Material                    | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes the type of Chain of Custody material in the shipment.                                                                                         |
| 9.2h Mass of CoC Material                    | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes the mass of Chain of Custody material in the shipments.                                                                                        |
| 9.2i Mass of total material                  | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes the mass of total material in the shipments.                                                                                                   |
| 9.3a Sustainability Data (optional)          | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope.                                                                                                                                                                |
| 9.3b Sustainability Data (passing on)        | Conformance    | Currently, the Entity does not intend to include data related to its Greenhouse Gases emissions in its Chain of Custody Documents. However, the design of the Chain of Custody Document provides for the inclusion of such data.     |
| 9.3c Post-Casthouse ASI Certification status | Conformance    | As confirmed by document review, the design of the Chain of Custody Document includes information about the Entity's ASI Performance Standard Certification Status.                                                                  |
| 9.4 Supplementary Information (optional)     | Conformance    | The Entity's management confirmed that presently, the Entity does not wish to provide Supplementary Information on its Chain of Custody Documents.                                                                                   |
| 9.5 Response to verification requests        | Conformance    | A provision about responding to requests related to Chain of Custody Documents is contained in the                                                                                                                                   |

| CRITERION                                     | RATING         | COMMENT                                                                                                                                                                                                                                                                                                                                                                                            |
|-----------------------------------------------|----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                               |                | Entity's ASI management procedure. The design of the process appears to be robust.                                                                                                                                                                                                                                                                                                                 |
| 9.6 Error management                          | Conformance    | In a documented procedure, the Entity has defined the processes in which errors regarding Chain of Custody shipments should be handled.                                                                                                                                                                                                                                                            |
| 10 RECEIVING COC DOCUMENTS                    |                |                                                                                                                                                                                                                                                                                                                                                                                                    |
| 10.1 Verify required information included     | Conformance    | The Entity has defined in a procedure the way to verify the received Chain of Custody Documents. As there has been no sourcing of Chain of Custody material at the time of the first Certification Audit, the effectiveness of this verification will be assessed at the next Audit.                                                                                                               |
| 10.2 Verify consistency with shipments        | Conformance    | The Entity has defined in their ASI management procedure how to verify the received Chain of Custody Documents. All deliveries are to be verified when entering the site. As there has been no sourcing of Chain of Custody material at the time of the first Certification Audit, the effectiveness of this verification will be assessed at the next Surveillance Audit.                         |
| 10.3 Verify supplier CoC Certification status | Conformance    | The Entity has established a procedure for an annual review of the validity and scope of its suppliers' ASI Chain of Custody Certifications.                                                                                                                                                                                                                                                       |
| 10.4 Error management                         | Conformance    | The Entity has established a process to ensure that if an error is discovered after Chain of Custody material has been received, the error and the agreed steps taken to correct it are documented and actions to avoid a recurrence are implemented.<br>At the time of the Audit, there were no examples of effective implementation as the Entity had not yet sourced Chain of Custody material. |
| 11 MARKET CREDITS SYSTEM: ASI CREDITS         |                |                                                                                                                                                                                                                                                                                                                                                                                                    |
| 11.1a Material Accounting System – allocation | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                                                                                                     |
| 11.1b Link to Casthouse Products              | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                                                                                                     |
| 11.1c No double counting                      | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                                                                                                     |
| 11.1d No Positive Balance for ASI Credits     | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                                                                                                     |
| 11.2a Date of issue                           | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                                                                                                     |

| CRITERION                                              | RATING         | COMMENT                                                                                                                                                                                                                                                                                                                |
|--------------------------------------------------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 11.2b Reference number                                 | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.2c Issuing Entity                                   | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.2d Receiving Entity                                 | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.2e Conformance statement                            | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.2f ASI Credits statement                            | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.2g Quantity                                         | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.3a CoC Certification Scope – purchasing ASI Credits | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.3b Material Accounting System – purchasing          | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.3c Expiry                                           | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.3d No re-trading                                    | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.3e No allocation to physical products               | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.3f Verify supplier CoC Certification status         | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 11.3g Five years maximum for ASI Credits purchasing    | Not Applicable | This Criterion is not applicable as the Entity does not utilise the ASI Market Credits System.                                                                                                                                                                                                                         |
| 12 CLAIMS AND COMMUNICATIONS                           |                |                                                                                                                                                                                                                                                                                                                        |
| 12.1a ASI Claims Guide                                 | Conformance    | The Entity has implemented a procedure for claims related to Chain of Custody material consistent with the ASI Claims Guide. As there have been no claims regarding the Chain of Custody at the time of the first Certification Audit, the effectiveness of the procedure will be assessed at the next Audit.          |
| 12.1b Verifiable evidence                              | Conformance    | The Entity has implemented a procedure for claims related to Chain of Custody material consistent with the ASI Claims Guide. The Entity has demonstrated awareness that all ASI related claims have to be supported by verifiable evidence. As there have been no claims regarding the Chain of Custody at the time of |

| CRITERION               | RATING      | COMMENT                                                                                                                      |
|-------------------------|-------------|------------------------------------------------------------------------------------------------------------------------------|
|                         |             | the first Certification Audit, the effectiveness of the procedure will be assessed at the next Audit.                        |
| 12.1c Employee training | Conformance | Document review and interviews confirmed that the relevant staff of the Entity have been trained on Chain of Custody claims. |

#### **Document Control and Version History**

| Revision | Date              | Notes                                                                                                                                                                                    |
|----------|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 0        | 5 September 2023  | Initial Certification Audit - Full Certification                                                                                                                                         |
| 1        | 19 December 2025  | Extension to the Certification expiry date (from 4 September 2025) and the Next Audit Type and Due Date, consistent with ASI's voluntary option for CoC Standard Certification extension |
| 2        | 18 September 2026 | Extension to the Certification expiry date (from 1 March 2027), consistent with ASI's voluntary option for CoC Standard Certification extensions                                         |