ASI CERTIFICATION
CHAIN OF CUSTODY STANDARD

PRESENTED TO

Mineração Rio do Norte - MRN

CERTIFICATE NUMBER	ASI STANDARD	CERTIFICATION LEVEL	ASI ACCREDITED AUDITING FIRM
256	CHAIN OF CUSTODY (V2 2022)	FULL CERTIFICATION	BUREAU VERITAS CERTIFICATION
	DATE OF ISSUE	**DATE OF EXPIRY**	**CERTIFIED SINCE**
	30 OCTOBER 2026	29 OCTOBER 2029	7 FEBRUARY 2023

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

Planning, mining, transport, processing, river shipment of Bauxite and power generation at the Mineração Rio do Norte - MRN facility in Porto Trombetas, Brazil.

AUDIT REPORT
CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Mineração Rio do Norte - MRN
ENTITY NAME	Mineração Rio do Norte - MRN
CERTIFICATION SCOPE	Planning, mining, transport, processing, river shipment of Bauxite and power generation at the Mineração Rio do Norte - MRN facility in Porto Trombetas, Brazil.
SUPPLY CHAIN ACTIVITIES	• Bauxite Mining
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	• Initial Certification Audit (29 – 30 November 2022) • Re-Certification Audit and Scope Change (14 – 15 December 2023) • Surveillance Audit (3 – 4 December 2024) • Re-Certification Audit (29 May – 1 June 2026)
AUDIT FIRM	Bureau Veritas Certification
AUDIT DATE	• 29 – 30 November 2022 (Initial Certification Audit) • 14 – 15 December 2023 (Re-Certification Audit and Scope Change) • 3 – 4 December 2024 (Surveillance Audit) • 29 May – 1 June 2026 (Re-Certification Audit)
AUDIT REPORT SUBMISSION	• 11 January 2023 (Initial Certification Audit) • 21 January 2024 (Re-Certification Audit and Scope Change) • 7 March 2025 (Surveillance Audit) • 12 September 2026 (Re-Certification Audit)
AUDIT SCOPE	Initial Certification Audit (29 – 30 November 2022) The Audit Scope includes the planning, mining, transport, processing, river shipment of Bauxite and power generation at the Mineração Rio do Norte - MRN facility in Porto Trombetas, Brazil. Supply chain activities included in the Audit Scope: • Bauxite Mining Relevant criteria from the ASI Chain of Custody Standard were included in the Audit Scope. Re-Certification Audit and Scope Change (14 – 15 December 2023) The Audit Scope includes the planning, mining, transport, processing, river shipment of Bauxite and power generation at the Mineração Rio do Norte - MRN facility in Porto Trombetas, Brazil. Supply chain activities included in the Audit Scope: • Bauxite Mining

	Relevant criteria from the ASI Chain of Custody Standard were included in the Audit Scope. Surveillance Audit (3 – 4 December 2024) The Audit Scope includes the planning, mining, transport, processing, river shipment of Bauxite and power generation at the Mineração Rio do Norte - MRN facility in Porto Trombetas, Brazil. Supply chain activities included in the Audit Scope: • Bauxite Mining Relevant criteria from the ASI Chain of Custody Standard were included in the Audit Scope. Re-Certification Audit (29 May – 1 June 2026) The Audit Scope includes the production planning, mining processes, beneficiation, river shipment of bauxite, finance and sales at the Mineração Rio do Norte - MRN facility in Porto Trombetas, Brazil. Supply chain activities included in the Audit Scope: • Bauxite Mining Relevant criteria from the ASI Chain of Custody Standard were included in the Audit Scope.
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	The Auditors confirm that: ☑ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report. ☑ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous. ☑ The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope. ☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
CERTIFICATION PERIOD	30 October 2026 – 29 October 2029
NEXT AUDIT TYPE	Surveillance Audit
NEXT AUDIT DUE DATE	30 June 2028
CERTIFICATE NUMBER	256
	If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: https://aluminium-stewardship.ethicspoint.com/ EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations. Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

ENTITY OVERVIEW

Mineração Rio do Norte – MRN (the 'Entity'), is the largest Bauxite producer in Brazil, producing and processing approximately 12 million tonnes of Bauxite annually. Its product is sold to the company's own shareholders, including Hydro and Alumar refineries, and outside the country to customers in countries including the United States, Canada and some European countries.

The Entity is located in the district of Porto Trombetas, in the west of the State of Pará, with operations covering the municipalities of Oriximiná and Terra Santa, and is very close to important economic and tourist hubs in the northern region, including Santarém and Manaus. It currently employs over 6,000 personnel. The Entity manages its business in line with a high degree of integrity and compliance, acting to the fullest extent to promote corporate responsibility, and requiring the ongoing support of Stakeholders such as communities, governmental agencies and Non-Governmental Agencies Organisations (NGOs), direct employees, contractors, family members, suppliers and investors.

The Entity is an open-cut strip mining operation that is currently mining the Monte Branco, Bela Cruz, Cipó and Teóilo mines. Bauxite is intersected at a depth of approximately eight meters, with mining undertaken in a sequential manner in regular strips, where the overburden is excavated and dumped into the adjacent strip in which the ore was previously mined out. After being mined out, the ore is loaded on trucks and transported to the crushing plant, where it is reduced to a particle size of up to three inches. From the crushers, the ore is transported on conveyor belts to the washing, cycling and filtering facilities. As a result from this beneficiation process, approximately 25% of solid mass, known as Bauxite tailings, is generated. The tailings are disposed into highly engineered reservoirs located in mined-out areas on the Saracá plateau. These reservoirs are subject to real-time monitoring. Once beneficiated, the ore is transported from the mine to the port along a 28 kilometre-long railway. In this operation, trains with 46 rail cars each are used.

MATURITY RATINGS

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

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

	OVERALL
SYSTEMS	High
RISKS	High
PERFORMANCE	High
OVERALL	HIGH

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is certified to the ASI Performance Standard, since January 2022. Mineração Rio do Norte (MRN) has been an ASI Member in the Production and Transformation class since December 2020.
1.2 CoC Management System	Conformance	The Entity's Policies, systems, procedures and processes address all applicable requirements of the ASI Chain of Custody (CoC) Standard, which are described in the Integrated Management System (Sistema Intregrado de Gestão) (SIG) Manual (review 28), which was last updated in July 2025.
1.3 CoC Management System Monitoring	Conformance	The Entity's Integrated Management System (SIG) Manual and related documents are reviewed at least every two years or upon each change in the standards that make reference to the Integrated Management System. Revision control was evidenced at the end of each procedure and in the SIG Manual.
1.4 Management Representative	Conformance	The Entity's senior management has appointed the Strategic, Risk and Business Performance General Manager as the ASI Management Representative with overall responsibilities and authority to maintain the Entity's Conformance with all requirements of the Standard.
1.5 Communications and Training	Conformance	The Entity has established and implemented training measures for all persons directly involved with Chain of Custody (CoC) management, in accordance with their competence and responsibilities under the ASI CoC Standard. In the Integrated Management System (SIG) Manual, rules and information are established to meet the internal communication demands related to the ASI CoC Certification, managed by the Entity's Communication department.
1.6 Records Management	Conformance	The Entity's document control methodology is defined in the Integrated Management System (SIG) Manual, and several other related procedures. The 'Softexpert' technological software for document management is used to control and manage ASI CoC records. The SIG Manual prescribes the archiving of records for a minimum period of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has defined a communication system to ensure that the total production of ASI Bauxite is properly communicated. The organisation informs the ASI Secretariat, through the Management Department, within a maximum period of three months after the end of each calendar year, from January 1st to December 31st.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity, as their activities relate to Bauxite extraction and processing, and no Scrap is generated.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Not Applicable	This Criterion is not applicable to the Entity, as their activities relate to Bauxite extraction and processing, and no Scrap is generated.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has implemented a reporting system to the ASI Secretariat within a maximum period of three months after the end of each calendar year. Based on the monthly production closure, the consolidated data will be made available in the Annual Chain of Custody Production Closing Record.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity reports on the Positive Balance carried over to the ASI Secretariat in accordance with the appropriate reporting form (delivered by the 30th June following the end of each calendar year).
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity reports on the Positive Balance used to the ASI Secretariat in accordance with the appropriate reporting form (delivered by the 30th of June following the end of each calendar year).
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	The Criterion is not applicable to the Entity, as it does not engage with suppliers of CoC Certified raw materials other than itself and there is no other material sold by the Entity, other than Bauxite.
2. OUTSOURCING CONTRACTORS		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Outsourcing Contractors for CoC Material.
3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM		
3.1a ASI Bauxite (CoC Certification Scope)	Conformance	The Entity's Integrated Management System (SIG) Manual, required to effectively implement the ASI CoC Standard, is integrated into existing organisation processes, from new mine exploration, Bauxite ore extraction, production planning, warehousing, sales and supply to customers. The relevant criteria for determining responsibilities within the ASI CoC Standard are described in the production and marketing

CRITERION	RATING	COMMENT
		documents, which become part of the SIG for supply management demand and ASI Bauxite inventory.
3.1b ASI Bauxite (Performance Standard)	Conformance	The Entity has defined procedures and systems to ensure that ASI Bauxite is sourced from their Bauxite mine that is ASI Performance Standard Certified and within the Entity's CoC Certification Scope.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	The Criterion is not applicable to the Entity, as it does not source ASI Bauxite from any other ASI CoC Certified Entity or via a Trader.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Financial transactions)		
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 Unique Identification	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
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.
7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible Sourcing Policy (Anti-corruption)	Not Applicable	This Criterion is not applicable to the Entity, as it sources all its Bauxite material from its own operations. Regardless, the Entity has adopted Integrity Due Diligence (DDI) processes.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Not Applicable	This Criterion is not applicable to the Entity, as it sources all its Bauxite material from its own operations. Regardless, the Entity has adopted Integrity Due Diligence (DDI) processes.
7.1c Responsible Sourcing Policy (Human rights due diligence)	Not Applicable	This Criterion is not applicable to the Entity, as it sources all its Bauxite material from its own operations. Regardless, the Entity has adopted Integrity Due Diligence (DDI) processes.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Not Applicable	This Criterion is not applicable to the Entity, as it sources all its Bauxite material from its own operations. Regardless, the Entity has adopted Integrity Due Diligence (DDI) processes.
7.2 Risk Assessment and Mitigation	Not Applicable	This Criterion is not applicable to the Entity, as it sources all its Bauxite material from its own operations and does not source any Non-CoC Material from any supplier, nor obtain CoC Material via a Trader.

CRITERION	RATING	COMMENT
		Regardless, the Entity has adopted Integrity Due Diligence (DDI) processes.
7.3 Complaints Resolution Mechanism	Not Applicable	This Criterion is not applicable to the Entity, as it sources all its Bauxite material from its own operations and does not source any Non-CoC Material from any supplier, nor obtain CoC Material via a Trader. Regardless, the Entity has adopted Integrity Due Diligence (DDI) processes and has a Complaints Resolution Mechanism.
8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established procedures and internal controls for all certified Bauxite ore from its mines, to control the Inputs and Outputs of CoC Materials and determine the Input and Output volumes in the system and daily records, monthly records and annual reports of production and sales.
8.2 Material Accounting Period	Conformance	The Entity has defined the accounting system as a period of twelve months within a calendar year.
8.3 Input and Inflow Quantities	Conformance	The Entity has established procedures and internal controls for all certified Bauxite ore from its mines, to control the Inputs and Outputs of CoC Materials and determine the Input and Output volumes in the system and daily records, monthly records and annual reports of production and sales.
8.4 Output Quantities of CoC Material	Conformance	The Entity has established procedures and internal controls for all certified Bauxite ore from its mines, to control the Inputs and Outputs of ASI Certified materials and determine the Input and Output volumes in the system and daily records, monthly records and annual reports of production and sales.
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a Mass Balance System to manage and track ASI Bauxite ore through mine production, beneficiation, storage and delivery to customers by vessels, which includes the 100% CoC Material Output Quantity.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has implemented a procedure and internal records to check that the total Output of CoC Material does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material over the Material Accounting Period of twelve months.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity supplies Bauxite to its shareholders and customers through annual contracts with delivery every quarter. However, in case the Entity verifies that for Force Majeure situations, it will not be able to meet the expected volume, the sales contract is adjusted for the subsequent quarter, thus preventing the operation having a negative balance. At the time of the Audit, no CoC Material had been handled by the Entity.

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8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity supplies Bauxite to its shareholders and customers through annual contracts with delivery every quarter. However, in case the Entity verifies that for Force Majeure situations, it will not be able to meet the expected volume, the sales contract is adjusted for the subsequent quarter, thus preventing the operation having a negative balance. At the time of the Audit, no CoC Material had been handled by the Entity.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity supplies Bauxite to its shareholders and customers through annual contracts with delivery every quarter. However, in case the Entity verifies that for Force Majeure situations, it will not be able to meet the expected volume, the sales contract is adjusted for the subsequent quarter, thus preventing the operation having a negative balance.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Production Closing Procedure – Accounting Chain of Custody ASI – CoC, which aims to define the procedure for recording and calculating the Inputs and Outputs of materials for the closure of production, ensuring that the ASI Bauxite produced is accounted for and documented within the expected timeframe under mass balance assumptions. The volume of shipments corresponds to the total amount of Bauxite shipped. There is no transaction with a negative balance.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a Production Closing Procedure – Accounting Chain of Custody ASI – CoC, which aims to define the procedure for recording and calculating the Inputs and Outputs of materials for the closure of production, ensuring that the ASI Bauxite produced is accounted for and documented within the expected timeframe under mass balance assumptions. The volume of shipments corresponds to the total amount of Bauxite shipped. There is no transaction with a negative balance.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified customers. Internal procedures including records of the issuance of shipments and invoices in accordance with the procedures and requirements of the ASI CoC Standard were evidenced.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity ensures that a CoC Document accompanies each shipment of Bauxite ore material dispatched to other CoC Certified Entities or customers. The design of the CoC Document, named 'Bauxite Certificate', demonstrates the issue date field.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has established a CoC Document that accompanies all shipments of Certified products, named 'Bauxite Certificate' and contains the reference number of the CoC Document linked to the Material Accounting System of the Entity for control process.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has established a CoC Document that accompanies all shipments of Certified products and contains information about the

CRITERION	RATING	COMMENT
		shipment and the Entity that issued the CoC Document, in accordance with an internal procedure.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has established a CoC Document that accompanies all shipments of Certified products and contains information about the shipment, including the receiving customer and the Entity that issued the CoC Document, in accordance with an internal procedure.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has established a CoC Document that accompanies all shipments of Certified products named 'Bauxite Certificate', and contains the data of the responsible employee of the Entity who can verify the CoC Document information at the final destination.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity ensures that a CoC Document accompanies each shipment of ASI Bauxite ore material dispatched to other CoC Certified Entities or customers. The CoC Document includes a statement confirming that 'The information provided in the COC Document is in Conformance with the ASI COC Standard.'
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has established a CoC Document that accompanies all shipments of Certified products and contains information about the shipment and the Entity that issued the CoC Document, in accordance with an internal procedure.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity ensures that a CoC Document named 'Bauxite Certificate' accompanies each shipment of CoC Material dispatched to other CoC Certified Entities or customer. The CoC Document includes a statement confirming that the 'total mass of bauxite shipped, as stated in items 14 and 15 CoC Document 'Bauxite Certificate'.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity ensures that a CoC Document named 'Bauxite Certificate' accompanies each shipment of CoC Material dispatched to other CoC Certified Entities or customer. The CoC Document includes a statement confirming that the 'total mass of bauxite shipped, as stated in items 14 and 15 CoC Document 'Bauxite Certificate'.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity's documentation related to ASI Bauxite ore includes GHG emissions data based on internal measurements, which has been undertaken since 2007, and detailed inventories of its emissions, involving all stages of the production process, from extraction to the shipment of Bauxite to the vessels at Porto Trombetas, Brazil.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity's documentation related to ASI Bauxite ore includes the information related to the Bauxite concentrate production, involving all stages of the production process, from extraction to the shipment of Bauxite to the vessels at Porto Trombetas, Brazil.
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-	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

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Casthouse ASI Certification status		
9.4 Supplementary Information (optional) - Objective evidence	Conformance	For Supplementary Information, the Entity offers shipment traceability with information related to the vessel name, and shipment date from January to November, with volume control and invoices. Also, as evidenced by the results of chemical analysis in the Totvs system, with traceability by shipment number, with the quantity shipped in tonnes.
9.5 Verification of Information	Conformance	The Entity has established the 'Issuance of Documents Chain of Custody ASI – CoC' procedure, which defines the basic governance for the issuance of CoC Documents by the Entity, which are related to shipments, and supporting Bauxite shipments.
9.6 Error (Shipping)	Conformance	The Entity has established the 'Issuance of ASI Chain of Custody Documents – CoC' procedure, which defines the basic governance for the issuance of CoC Documents by the Entity, which are related to shipments and supporting Bauxite shipments. The Entity defines if any information is recorded and issued erroneously by the Sales Department during or after issuing the CoC Document or notifying the customer. This information shall be promptly corrected and a new CoC Document sent to the client as requested.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Not Applicable	This Criterion is not applicable to the Entity, as it does not receive CoC Material.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Not Applicable	This Criterion is not applicable to the Entity, as it does not receive CoC Material or Eligible Scrap.
10.3 Verification of Supplier's ASI CoC Certification	Not Applicable	This Criterion is not applicable to the Entity, as it does not receive CoC Material.
10.4 Error (Reception)	Not Applicable	This Criterion is not applicable to the Entity, as it does not receive CoC Material.
11. CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's communications and claims are consistent with the ASI Claims Guide. The Entity has processes in place to ensure that claims and/or statements about CoC Material are consistent with the ASI Claims Guide and verifiable evidence to support the claims and/or statements is presented. The Entity conducts appropriate training so that relevant employees understand and adequately communicate the claims and/or representations.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity's communications and claims are consistent with the ASI Claims Guide. The Entity has processes in place to ensure that claims and/or statements about CoC Material are consistent with the ASI Claims Guide and verifiable evidence to support the claims and/or statements is presented. The Entity conducts appropriate training so

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		that relevant employees understand and adequately communicate the claims and/or representations.
11.1c Claims and Communications (Employee training)	Conformance	The Entity's communications and claims are consistent with the ASI Claims Guide. The Entity has processes in place to ensure that claims and/or statements about CoC Material are consistent with the ASI Claims Guide and verifiable evidence to support the claims and/or statements is presented. The Entity conducts appropriate training so that relevant employees understand and adequately communicate the claims and/or representations.

ASI LIMITATION OF LIABILITY DISCLAIMER

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	7 February 2023	Initial Certification Audit – Full Certification
1	20 March 2024	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply the ASI Chain of Custody Standard V2
2	28 April 2025	Surveillance Audit
3	30 October 2026	Re-Certification Audit – Full Certification