



CRIME
PREVENTION
POLICY

(CHILEAN LAW
N° 20,393)



goldenomega

EXPERIENCE THE DIFFERENCE

EXPERIENCE THE DIFFERENCE



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CRIME PREVENTION POLICY



1. OBJECTIVE

The objective of this document is to establish the guidelines on which the adoption, implementation and operation of the Crime Prevention Model of Golden Omega SA and its Subsidiaries (the Company) is based, in accordance with the provisions of Chilean Law No. 20,393 on Criminal Liability of Legal Persons, as well as for the prevention of other types of improper conduct typified in laws, rules and regulations of supervisory bodies, as well as in the Code of Ethics and rules established by the Company.

2. SCOPE

The scope of this Policy and the Crime Prevention Model ("CPM") includes only the Company.

The scope of the Crime Prevention Policy and the associated Crime Prevention Model is corporate in nature, that is, it includes the Owners, Controllers, Directors, Managers, Senior Executives, Representatives, Senior Management, Workers, Contractors and Advisors of the company.

3. PRINCIPLES AND GUIDELINES OF THE PREVENTION MODEL

- 3.1** The Company will ensure to maintain an adequate organization, administration and supervision model for the prevention of the crimes contemplated in Law No. 20,393 on criminal liability of legal persons, called "Crime Prevention Model of Golden Omega SA and its Subsidiaries", through which it will promote the prevention of the crimes contained in said Law.
- 3.2** The application and supervision of the norms established by the Company's Crime Prevention Model will be in charge of an official who will have the title of Crime Prevention Officer.
- 3.3** The Crime Prevention Officer will be appointed by the Golden Omega SA Board of Directors and ratified by the Board of each of its subsidiaries, lasting up to three years in office and may be extended in office for periods of equal duration.

- 3.4** The Board of Directors, Senior Management and the Crime Prevention Officer of the Company will be jointly responsible for the adoption, implementation, administration, updating and supervision of the Crime Prevention Model.
- 3.5** The Board of Directors will provide the means and powers to the Crime Prevention Officer for the development of their functions and activities, which includes the resources and material means to adequately carry out its tasks.
- 3.6** The Crime Prevention Officer will have access to information related to his scope of action in the Company, as well as to its Boards of Directors, in order to inform the management of the Crime Prevention Model, at least every six months and / or when the circumstances of the entity justify it.
- 3.7** The Crime Prevention Officer will disseminate and communicate to the entire organization the Crime Prevention Model, the roles and responsibilities that emanate from it and the sanctions for non-compliance with it.
- 3.8** The Company will ensure compliance with all applicable laws, regulations and procedures, related to the crimes contained in Law No. 20,393.
- 3.9** The Crime Prevention Model will be updated when relevant changes occur in business conditions, an activity for which the Crime Prevention Officer will be responsible.
- 3.10** The Crime Prevention Model will be certified by an external body authorized by the Chilean Financial Market Commission, a certification that will be maintained and updated periodically, in accordance with the provisions of Law No. 20,393.
- 3.11** The Company's Code of Ethics establishes ethical standards for the development of commercial and operational activities, promoting an environment of transparency and fair competition, through the values and principles established in the organization.



4. ROLES AND RESPONSIBILITIES

4.1 BOARD OF DIRECTORS

- Approve the Crime Prevention Policy.

Appoint and / or remove the Crime Prevention Officer from his position, in accordance with the provisions of Law No. 20,393. The Company's Board of Directors may ratify and extend said appointment every three years.

- Provide the material means and resources necessary for the Crime Prevention Officer to fulfill his roles and responsibilities.
- Ensure the correct implementation and effective operation of the Crime Prevention Model.
- Receive and evaluate the management and operation reports of the Crime Prevention Model, generated by the Crime Prevention Officer, at least every six months.
- Receive annually the report of the administrative management developed by the Crime Prevention Officer and approve the planning for the next period.

4.2 MANAGING DIRECTOR

- Support the Crime Prevention Officer, ensuring their unrestricted access to information and people, as well as coordinating the activities of the Crime Prevention Model in the areas required.
- Contribute to the dissemination of the Crime Prevention Model by generating the necessary instances of dissemination and commitment to the entire organization, in order to achieve effective communication of the policies and procedures.
- Inform the Crime Prevention Officer of any situation observed that is related to the breach of Law No. 20,393 and the procedures related to the Crime Prevention Model.
- Approve the Crime Prevention Procedure.

4.3 CRIME PREVENTION OFFICER

- Exercise the role as established by Law No. 20,393 and in accordance with the powers

defined for the position by the Company's Board of Directors.

- Determine, in accordance with the Company's administration, the means and resources necessary to fulfill its role and responsibilities.
- Train the Company's workers in matters under the scope of Law No. 20,393.
- Ensure the correct establishment and operation of the Crime Prevention Model developed and implemented by the Company.
- Report at least every six months -and / or when circumstances justify it- to the Board of Directors of Golden Omega SA and its Subsidiaries.
- Report to the Ethics Committee when circumstances justify it.
- Establish and comply with the policy and procedures of the Crime Prevention Model and suggest, develop and implement any other policy and / or procedure that it deems necessary to complement the existing Crime Prevention Model.
- The Crime Prevention Officer will be responsible for encouraging the Company's internal processes and activities to have effective crime risk prevention controls and maintaining a record of evidence of compliance and execution of these controls.
- Permanently evaluate the effectiveness and validity of the Crime Prevention Model adopted and its compliance with the laws and other regulations, informing the Board of Directors regarding the need and convenience of its modification.
- Be aware of and carry out an analysis of any unusual or suspicious operation and, if deemed necessary, raise the case with the Ethics Committee and / or the Board of Directors when appropriate. For the purposes of the analysis, the Crime Prevention Officer must collect all the documentation related to that operation, generating a background file for such purposes.
- Request, in the cases it deems necessary for the exercise of its functions, all the antecedents and contracts that the Company celebrates, especially with State owned companies and, in general, all public services created by law; companies, public or private companies in which the State or its



companies, companies or centralized or decentralized institutions have contributions of majority capital or in equal proportion, or, under the same conditions, representation or participation; All this for the purposes of safeguarding compliance with Law No. 20,393, the regularity of these operations and, eventually, making the responsibilities effective when a violation of this law is found or the commission of any of the crimes it tries to prevent.

- Document and guard the evidence related to crime prevention activities.
- To provide extensive collaboration in the certification process of the Crime Prevention Model.
- Follow the recommendations or instructions emanating from the Certification process or regulatory entities.
- To ensure the updating of the crime prevention policy and procedure, in accordance with regulatory changes and the Company's business environment.
- To intervene, when appropriate, in the lawsuits, complaints or legal proceedings that the Company decides to undertake in relation to the crimes indicated in Law No. 20,393 and to provide all the background information that poses or of which have knowledge by reason of its position.
- Carry out special tasks that the Board of Directors of Golden Omega SA and each of its Subsidiaries may require in relation to matters within its competence.

The responsibilities and functions established above shall apply to the officer designated as subrogate when, in the absence of the Crime Prevention Officer or for any other circumstance that justifies it, he performs the functions of the Crime Prevention Officer. Said subrogate will be proposed by the Crime Prevention Officer and ratified by the Company's Board of Directors.

4.4 AREAS OF SUPPORT TO THE CRIME PREVENTION MODEL

The areas of support for the Crime Prevention Model are the following:

- Legal Advisors (External).
- Management of administration and finance.
- Internal Audit and Risk.
- Ethics Committee.

The responsibility control activities of each support area are detailed in the document "Crime Prevention Procedure".

4.5 ALL PERSONNEL, CONSULTANTS AND CONTRACTORS

- Comply with the provisions of this policy and the Company's Crime Prevention Model.
- Inform, through the defined channels, regarding situations that could go against what is established here.

5. DEFINITIONS

- **Code of Ethics:** Document that is a guide for each employee, regardless of their hierarchical rank. It promotes a conduct based on a behavior whose hallmarks are rectitude and honesty, in each of its actions.
- **Sanction:** Consequence or effect of committing an offense associated with the breach of the Crime Prevention Model or any of its associated controls.
- **Third Parties:** Any person or company that provides some type of professional or support services to the Company.
- **Crimes:** The illegal acts contained in Law No. 20,393:
 - Bribery of a national or foreign public official (Articles 250 and 251 bis of the Penal Code). Bribery is understood to offer, agree to give or grant to a public employee an economic benefit, for the benefit of this or a third party, to carry out improper actions or omissions in the exercise of his functions. The mere fact of offering, agreeing to give or deliver an economic benefit to the public official is also penalized, not necessarily having a consideration from him.



- Money Laundering (Article 27 of Law No. 19,913). Money laundering is considered to be any act aimed at concealing or disguising the illicit origin of certain assets, knowing that they come directly or indirectly from the perpetration of acts constituting crimes, such as: Securities Market Law crimes, misappropriation, banking crimes, illicit trafficking in narcotic drugs and psychotropic substances (drugs), terrorist behavior, arms trafficking and organizations for criminal purposes (child prostitution, kidnapping, human trafficking, etc.). Likewise, any act by means of which the aforementioned assets are acquired, possessed, have or used, for profit, constitutes money laundering when, at the time of receipt, they have had knowledge of their illicit origin. In other words, money laundering is any act or omission that aims to hide or disguise the nature, location, origin, ownership, control of money or other illegally obtained assets. This is a complex and dynamic process through which said assets, of illicit origin, are introduced into a company and therefore in the economy of a country, trying to give it an appearance of legality.
- Financing of terrorism (Article 8 of Law No. 18,314). This crime is committed by any person who, by any means, requests, collects or provides funds for the purpose of being used in the commission of any type of terrorist crime, such as seizing or attacking a means of public transport in service, attacking against the Head of State and other civil, military, police or religious authorities, to place, send, activate, throw, detonate or shoot explosive or incendiary bombs or devices of any kind, weapons or devices of great destructive power or toxic, corrosive effects or infectious, associate with the object of committing terrorist crimes, among others.
- Reception (Article 456 bis A of the Penal Code). This crime is committed by the person who, knowing its origin or being unable to do anything less than knowing it, has in his or her possession, under any title, stolen, stolen or cattle-raiding (cattle theft), transports, buys, sells, transforms or markets them in any shape. The crime is aggravated by the circumstance that the object of the reception is motorized vehicles or things that are part of the supply networks of public or residential services, such as electricity, gas, water, sewage, rainwater collectors or telephony.
- Incompatible Bargaining (Article 240 of the Penal Code). It is the crime that can be committed in companies by Directors, Managers or another person who has a power delegated by them, where they are part of a business, action, contract, operation or management directly or indirectly in order to obtain some type of personal benefit for someone related.
- Corruption between individuals (Articles 287 bis and 287 ter of the Penal Code). It is configured in the following situations:
 - When the company requires a good or service: when requesting or accepting to receive an economic or other benefit, for itself or a related person, from a third party, to favor or for having favored, within the framework of its functions, the hiring of this bidder over another.
 - When the company offers a good or service: by giving, offering or accepting to give an economic or other benefit to an official or worker of another company, so that he or she favors or has favored the hiring of the company in which the works, over another company.
- Misappropriation (Article 470 No. 1 of the Penal Code). It is committed by appropriating money or personal property by another person or company, which is in the power of the company where it works, and which is under an obligation to return.
- Unfair Administration (Article 470 No. 11 of the Penal Code). It occurs when the assets of the company are damaged, by having abused the powers to dispose of the assets of the company, or by executing or omitting any act that is manifestly contrary to the interest of the assets of the company.



- Water Pollution (Article 136 of the Fishing Law). This crime is committed when a person introduces or orders to introduce into the sea, rivers, lakes or any other body of water, chemical, biological or physical pollutants that cause damage to hydrobiological resources.
- Ban on Products (Article 139 of the Fishing Law). This crime is configured with the processing, transformation, transportation, commercialization and storage of banned hydrobiological resources, as well as the elaboration, commercialization and storage of products derived from these.
- Illegal Extraction of Benthic Resources in Management Areas (Article 139 bis of the Fisheries Law). It occurs when extractive activities are carried out in areas of management and exploitation of resources of the seabed (benthic), exclusively for artisanal fishermen, without being the holder of the corresponding rights.
- Failure to prove Legal Origin of Scarce Hydrobiological Resources (Article 139ter of the Fisheries Law). It refers to the crime of commercializing, processing, elaborating or storing hydrobiological resources or products derived from them, with respect to which they cannot prove their legal origin, and which correspond to resources in a state of collapse or overexploitation.
- Fraudulent obtaining of unemployment insurance benefits (Article 14 Law No. 21,227). This crime is configured by fraudulently obtaining the supplements, benefits and/or benefits of the unemployment or severance insurance funds, which can be used by the company in common agreement with the same workers, or that said workers continue working in the company. for lower wages, compensating for the reduction in their income with insurance.
- Order the transfer of a worker in times of pandemic to his workplace knowing that

it is prohibited (Article 318 ter Law No. 21,240) Whoever knowingly orders a worker to attend the workplace, when he is under quarantine or mandatory sanitary isolation decreed by the health authority.

- Any crime that is incorporated into Law No. 20,393.

6. APPROVAL AND MODIFICATIONS

This document was approved by the Company's Board of Directors at a meeting held on November 5, 2013 and modified as approved by the Board of Directors on July 1, 2020. In case of modifications, the following should be included in this section: date of holding of the Company's Board of Directors meeting on which the amendment in question was approved.

7. VALIDITY

This Policy is effective as of the indicated approval date and will have an indefinite duration as long as the Company's Board of Directors does not adopt another resolution in this regard.

8. DISCLOSURE MECHANISMS

The full and updated text of this document will be made available and kept available to interested parties on the Company's website (www.goldenomega.cl).



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