



CRIME
PREVENTION
POLICY

(CHILEAN LAW
N° 20,393)



goldenomega
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. The crimes included in Law No. 20,393 are defined in the annex that is part of this policy.

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. APPROVAL AND MODIFICATIONS

This document was approved by the Company's Board of Directors at a meeting held on January 3, 2023. In case of modifications, the date of the Company's Board of Directors meeting on which the amendment in question was approved must be included in this section. The Board of Directors authorizes the Managing Director to update the Annex of this Policy, in accordance with the regulatory changes that are incorporated into Law No. 20,393.

6. 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.

7. 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).



8. APPENDIX

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 Chilean Criminal Code)

Bribery is defined as offering, agreeing to provide, or granting a financial benefit to a public employee, for the benefit of the employee or a third party, in order to carry out wrongful acts or omissions in the performance of his/her duties. The mere fact of offering, accepting to give or providing a financial benefit to a public official, without necessarily having a compensation on the part of the official, is also punishable.

- Money laundering (Article 27 of Chilean 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: crimes under the Securities Market Law, misappropriation, banking crimes, illicit trafficking of narcotics and psychotropic substances (drugs), terrorist behaviour, arms trafficking and organisations with criminal purposes (child prostitution, kidnapping, human trafficking, etc.).

Likewise, any act by means of which the

aforementioned goods are acquired, possessed, held or used for profit when the illicit origin of the goods was known at the time, they were received constitutes money laundering. In other words, money laundering is any act or omission intended to conceal or disguise the nature, location, source, ownership, or control of illegally obtained money or other assets.

This is a complex and dynamic process by which such illicit assets are introduced into a Company, and thus into a country's economy, in an attempt to give it a semblance of legality.

- Terrorist financing (Article 8 of Chilean Law No. 18,314).

This offence is committed by any person who, by any means, requests, collects or provides funds in order to be used in the commission of any type of terrorist offence, such as, seizing or attacking a means of public transport in service, attacking the Head of State and other civil, military, police or religious authorities, placing, sending, activating, throwing, detonating or firing bombs or explosive or incendiary devices of any type, weapons or devices of great destructive power or with toxic, corrosive or infectious effects, associating with the aim of committing terrorist crimes, among others.

- Receiving stolen property (Article 456 bis A of the Chilean Criminal Code).

This offence is committed by anyone who, knowing its origin or being unable to know it, has in his/her possession, in any way, stolen species or cattle theft, and/or transports, buys, sells, transforms, or commercialises them in any way. When the object of the theft is motorised vehicles or things that belong to the supply networks of public or household services, such as electricity, gas, water, sewage, rainwater collectors or telephony, the offence is aggravated.

- Incompatible negotiation (Article 240 of the Chilean Criminal Code).

This crime may be committed in companies by Directors, Managers or other persons holding a power delegated by them, with which they take part in a business, action,



contract, operation, or management directly or indirectly in order to obtain some kind of personal benefit or for someone related to them.

- Corruption between private individuals (Articles 287 bis and 287 ter of the Chilean Criminal Code).

It arises from the following situations:

- When the Company requires a good or service: by requesting or agreeing to receive a financial or other benefit, for him/herself or a related person, from a third party, in order to favour or having favoured, within the framework of his/her functions, the contracting of this bidder over another.
- When the Company offers a good or service: by giving, offering, or accepting to provide a financial or other benefit to an official or worker of another Company, so that he/she favours or has favoured the hiring of the Company in which he/she works over another Company.

- Misappropriation (Article 470 No. 1 of the Chilean Criminal Code).

It is committed by appropriating money or movable assets belonging to another person or Company, which are in the possession of the Company in which one works and has the obligation to return them.

- Dishonest administration (Article 470 No. 11 of the Chilean Criminal Code).

It is caused by damaging the assets of the Company, by abusively exercising the powers to dispose of the Company's assets, or by performing or omitting to perform any act in a way that is manifestly contrary to the interests of the Company's assets.

- Water pollution (Article 136 of the Chilean Fisheries Law).

This crime is committed when a person introduces or orders to be introduced into the sea, rivers, lakes, or any other body of water, chemical, biological or physical pollutants that cause damage to hydrobiological resources.

- Breach of prohibited products (Article 139 of the Chilean Fisheries Law).

This crime involves the processing, transformation, transport, commercialisation, and storage of banned hydrobiological resources, as well as the elaboration, commercialisation and storage of products derived from them.

- Illegal extraction of seabed resources (Article 139 bis of the Chilean Fisheries Law).

It occurs when extractive activities are carried out in areas of management and exploitation of seabed resources (benthic), exclusive to artisanal fishermen, without being holders of the corresponding rights.

- Illegal production or storage of collapsed or overexploited hydro-biological products (Article 139 ter of the Chilean Fisheries Law).

This refers to the crime of commercialising, processing, producing, or storing hydro-biological resources or products derived from them, without proof of their legal origin, and which correspond to resources in a state of collapse or overexploitation.

- Fraudulently obtaining unemployment insurance benefits (Article 14 of Chilean Law No. 21,227).

This offence is committed by fraudulently obtaining complements, benefits and/or allowances from unemployment insurance funds, which can be used by the Company in agreement with the workers themselves, or that such employees continue to work in the Company for lower salaries, compensating the reduction in their income with the insurance.

- Arrange the transport of a worker during a pandemic to his/her place of work, knowing that it is prohibited (Article 318 Ter Chilean Law No. 21,240).

Anyone who knowingly orders an employee to go to the workplace when the latter is under quarantine or compulsory sanitary isolation decreed by the health authority, is punishable.

The above is notwithstanding those companies authorised by the authority to



operate which perform essential work and whose staff may attend the workplace in person and/or circulate in the exercise of their duties.

- Possession of firearms, by a person who is not duly authorised, or in a place different from the one duly registered (Articles 8, 9, 9 A, 9 B, 10, 10 A, 10 B, 11, 12, 13, 14, 14 A, 14 B, 14 C, 14 D, 14 E, 14 F, 15, 16, 17, 17 A, 17 B, 17 C of the Chilean Firearms Control Law No.17,798).

Penalties are imposed on anyone who, being authorised to carry a firearm in accordance with the requirements of the Firearms Control Law, has it in a place where it is not authorised, or carries a firearm without being duly authorised to do so. In addition, all special concepts included in the Firearms Control Law, such as unauthorised import, adulteration of firearms, possession of unauthorised explosive devices, among others, are sanctioned.

- Smuggling of migrants for specific purposes (Article 411 quarter of the Chilean Criminal Code).

Punishes anyone who uses violence, deception, coercion, abuse of power or other similar mechanism to obtain the consent of a person having authority over another to recruit, transfer, harbour or receive persons for any form of sexual exploitation, forced labour, slavery, servitude, or other similar practices (non-punishable offence).

- Attack on the integrity of a computer system (Article 1 of Chilean Law No. 21,459).

This crime is committed by anyone who hinders or prevents the normal functioning, in whole or in part, of a computer system, through the introduction, transmission, damage, deterioration, alteration or deletion of computer data.

- Unlawful access (Article 2 of Chilean Law No. 21,459).

This crime has three variants:

1. Mere access: This is committed by anyone who, without authorisation or exceeding the authorisation they have and overcoming technical barriers or technological security

measures, gains access to a computer system.

2. Access with a specific intent: a higher penalty is imposed on a person who accesses the system with the intention of seizing or using the information obtained in an unlawful manner.

3. Access and disclosure of the information obtained: an aggravating circumstance is envisaged for those who access and obtain information (variant 2) and disclose it (variant 3).

- Unlawful Interception (Article 3 of Chilean Law No. 21,459).

This crime has two variants:

1. Interference with the transmission of data: This offence is committed by anyone who improperly intercepts, interrupts, or interferes, by technical means, the non-public transmission of information in a computer system or between two or more computer systems.

2. Interception and capture of data: it is committed by anyone who, without due authorisation, captures, by technical means, data contained in computer systems through their electromagnetic emissions.

- Attack on the integrity of computer data (Article 4 of Chilean Law No. 21,459).

It is committed by anyone who improperly alters, damages, or deletes computer data.

- Computer forgery (Article 5 of Chilean Law No. 21,459).

This crime is committed by anyone who improperly enters, alters, damages, or deletes computer data intentionally to make it look authentic or to use it to generate authentic documents.

- Receiving stolen computer data (Article 6 of Chilean Law No. 21,459).

Whoever, knowing its origin or being unable to know it, commercialises, transfers, or stores for the same or any other illicit purpose, in any way, computer data resulting



from the conducts described in articles 2, 3 and 5 of Law No. 21,459.

- Computer fraud (Article 7 of Chilean Law No. 21,459).

It is committed by anyone who, causing damage to another, with the aim of obtaining economic benefit for him/herself or for a third party, manipulates a computer system, by introducing, altering, damaging, or deleting computer data or through any interference in the operation of a computer system.

This article also punishes as a perpetrator anyone who provides the means by which the offence is committed while knowing its unlawfulness.

- Abuse of devices (Article 8 of Chilean Law No. 21,459).

Anyone who, for the perpetration of the offences provided for in Articles 1 to 4 of this law or of the conducts referred to in Article 7 of Law No. 20,009 (fraudulent use of payment cards and economic transactions), gives or obtains for use, imports, disseminates or otherwise makes available one or more devices, computer programmes, passwords, security or access codes or other similar data, created or adapted primarily for the perpetration of such offences.

- Timber theft (Article 1 of Chilean Law No. 21,488).

This crime punishes the theft of timber and anyone holding logs or trunks of timber without being able to justify their possession, or anyone found with timber on someone else's property without the owner's consent.

It also punishes anyone who uses false documentation to transport or market timber illegally and forces those who produce, sell, store, deposit, maintain or stockpile logs or timber to have their respective electronic dispatch guides.

- Any offence incorporated into Chilean Law No. 20,393.



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