

**AFFIDAVIT OF VINCULATIONS FOR CODELCO**

Unique Form Contractors and Suppliers Statement

**Company Information:**

<b>Company's Name</b>	
<b>Company Identification Number</b>	
<b>Country</b>	

**Signer Identification (the signer subscriber must be a legal representative):**

<b>Name</b>	
<b>Passport Number or ID Number</b>	
<b>Company</b>	
<b>Position</b>	Legal Representative

\* Natural Person counterparties must only complete the "Signer Identification" box.

**DECLARATION:**

The subscriber, in the individualized quality, without any responsibility for Codelco - Chile, declares:

That the information provided in this form is reliable, true, accurate and complete, in all its sections, identified below:

<b>Section:</b>	<b>Description</b>
1. Declaration of Related Persons - PER	Informs natural or legal persons (company) in which certain Codelco personnel - directly or through their families - have ownership or management participation.
2. Declaration of Person Exposed to Codelco - PEC	Informs the natural or legal persons (company) in which, a former worker or former Codelco member who has held a certain position, has ownership or management participation
3. Declaration of Politically Exposed Person - PEP	Informs the natural person that has or, the legal persons in which a Politically Exposed Person of those defined, has ownership or management participation
4. Corporate mesh (property) and senior management (management)	Informs the corporate mesh composition and senior management positions
5. Declaration of Business, Friendship or other links with Codelco Valid Personnel	Informs links with certain current Codelco personnel, which could affect the transparency of the process and / or subtract impartiality.
6. Declaration of Ethical Performance and Criminal Responsibility of the Legal Person	Due diligence and declaration related to the crimes contemplated by Law 20.393.

**Date:****Signature:**

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**Name and ID Number/Passport:**



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- I. Know and accept the provisions of the Corporation, which states that any omission, mistake or falsity of the information provided may be reason for non-adjudication of the contract or its anticipated termination, without the right to compensation or compensation of any kind.
- II. I force myself to notify Codelco of any modification to the information provided, later, within the next 30 calendar days after the change materializes.

## CODELCO NOTE

### Filling instructions:

- This form must be signed and dated on each of its pages and pages.
- In the case of promised consortia, a form must be attached for each of the member companies.
- In the case of a proposer who is a Natural Person, it will be understood that each section of the form must be filled in respect and in relation to his person (as if he were the "owner").

### Clarifications:

Codelco declares that it **does not discriminate, limit, or prohibit:**

- Participation as proponents or suppliers in business processes with Codelco.
- The adjudication, in case of complying with the necessary and established conditions for this (economic, technical and others that apply).

of those companies that have links with the Company (present, past), or political exposure of those declared, just for having this condition.

The Corporation requests this information to ensure greater transparency of its processes and to ensure that business decisions are adopted in conditions of impartiality, with the highest standards of business ethics, transparency and honesty, ensuring objectivity, free concurrence and equality between bidders, traceability of all processes, as well as unrestricted compliance with internal regulations and legal requirements.

**Date:**

**Signature:**

**Name and ID Number/Passport:**



**1 RELATED PEOPLE - PER DIRECT OR FAMILY RELATIONS WITH CURRENT PERSONS OF CODELCO**

I declare that in the company indicated in this form, which I legally represent,  
 (Mark with an x)

Exists (\*)

Doesn't exist

between those who participate in your property and/or those who participate in its management  
 (see annex 1):  
 (Mark with an x)

Persons performing in Codelco one of the positions or functions indicated in **Annex 2**, and/or

**People who have family relations** (according to **Annex 3**) with those who have such positions.

**(\*) In case you have checked the option "exist", indicate the following information about the related person (s):**

• Name and last name of the Person of your Company:	
• RUT of the Person of your Company:	
• Position in the company:	
• % Participation in the ownership of your company:	
• Codelco Person's Name:	
• Position or Function of the Codelco Person:	
• Family Relationship (if applicable):	

**Add more boxes, if there is more than one relationship to declare.**

**Date:**

**Signature:**

**Name and ID Number/Passport:**



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**2 PEOPLE EXPOSED TO CODELCO - PEC  
PREVIOUS LABOR RELATIONS WITH CODELCO**

I declare that in the company indicated in this form, which I legally represent,  
(Mark with an x)

Exists (\*)

Doesn't exist

among those who participate in its property and / or those who participate in its management (see annex 1), people who in the last 18 months (counted since the present declaration) held a position or function within Codelco, through a labor relationship, between those indicated in annex 2:

**(\*) In case you have checked the option "exist", indicate the following information about the former Codelco employee (s):**

**Person of your Company:**

•Name and lastname:	
• RUT of the Person of your Company:	
• Position in your company:	
•% Participation in your company:	
• Last position in Codelco:	
• Codelco detachment date	

**Add more boxes, if there is more than one person to testify.**

Date:

Signature:

Name and ID Number/Passport:



### 3 POLITICALLY EXPOSED PERSON - PEP

I declare that in the company indicated in this form, which I legally represent,  
 (Mark with an x)

- Exists (\*)
- Doesn't exist

between those who participate in your property and / or those who participate in its management  
 (see annex 1), people who: (Mark with an X)

- Currently or in the last 18 months** (from the date of this declaration), they have held any of the positions or functions indicated in Annex 4 of this form, and / or
- They have a family relationship (see annex 5), with someone who, currently or in the **last 18 months** (from the date of this declaration), has performed any of the positions or functions indicated in annex 4 of this form

**(\*) If you have checked the option "exist", indicate the following information:**

**Person of your Company:**

• Name and Surname	
• RUT of the Person of your Company:	
• Position in your company:	
• % Participation in your company:	
• Quality of PEP or relationship with PEP (indicate "Management or Property")	
• Position or function of the PEP:	
• First and Last Name PEP:	
• Period in the PEP position (from - to)	
• In case of family relationship, detail	

**Add more boxes, if necessary.**

Date:

Signature:

Name and ID Number/Passport:



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**4 CORPORATE MESH (PROPERTY) AND SENIOR MANAGEMENT (MANAGEMENT)**

I declare that the company indicated in this form, which I legally represent, has / integrates the following Directory and Corporate Mesh:

**Directory:**

Charge	ID Number/ Passport	Gender		Name and Surname	Phone	E-mail
		(M)	(F)			
President						
Director						
Director						
Director						
Director						
Legal Representative 1						
Legal Representative 2						
General Manager						
Area 1 Manager						
Area 2 Manager						
Area 3 Manager						
Area 4 Manager						
Area 5 Manager						

Note: if you need to add more charges, please insert the necessary cells.

**Corporate Mesh:**

Company Name and Identification Number of the Company:					
Charge	ID Number / Passport	Gender (not companies)		Name and Surname / Business Name *	% Participation in the Company property
		(M)	(F)		
partner					
partner					
partner					
partner					
partner					
					<b>TOTAL</b>

\* In the event that there is any legal person (Company) on the property of the company, it must be opened in this table and for each of these legal persons the table must be repeated stating their property, until reaching the partner **as a person natural**. In the heading of this box it is also requested to identify the company ID that is being detailed.

**Add more tables to detail the parent company, subsidiaries, associated companies or part of the Company's business group.**

Date:

Signature:

Name and ID Number/Passport:



**5 BUSINESS RELATIONS, FRIENDSHIP OR OTHER LINKS WITH CURRENT CODELCO STAFF**

I declare that in the company indicated in this form, which I legally represent,  
 (Mark with an x)

- Exists (\*)
- Doesn't exist

Among those who participate in it property and / or those who participate in its management (see annex 1), people who: (Mark with an X)

- They currently maintain (or have maintained in the **last 18 months**) private businesses and / or
- They have a level of friendship or habitual closeness, or currently maintain other links that **may affect the impartiality** of the process with personnel

Of Codelco that performs in the Corporation one of the positions or functions indicated in **Annex 2.**

**(\*) If you have checked the option "exist", indicate the following information about the related person (s):**

• Name and Surname of the Person of your Company:	
• RUT of the Person of your Company:	
• Position in your company:	
• % Participation in your company:	
• Codelco Person's Name:	
• Position or Function of the Codelco Person:	
• Existing linkage (explain and detail):	

**Add more boxes, if necessary**

Date:

Signature: \_\_\_\_\_

Name and ID Number/Passport: \_\_\_\_\_



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**6 ETHICAL PERFORMANCE AND CRIMINAL RESPONSIBILITY**

I declare, in my role as legal representative, that the company indicated in this form and / or those who participate in its property and / or who participate in its management (see annex 1) or are part of the corporate network:

		YES	NO
<b>A</b>	It is being <b>investigated</b> , by a competent body for some crime of corruption (such as bribery of a public official, corruption between private parties, incompatible negotiation, unfair administration), of illicit use of assets, any other crime provided by law 20.393. (*)		
<b>B</b>	It has been <b>formalized</b> for some crime of corruption (such as bribery of public official, corruption between private parties, incompatible negotiation, unfair administration), of illicit use of assets, any other crime provided for by law 20.393		
<b>C</b>	Has been <b>convicted</b> of any crime of corruption (such as bribery of a civil servant, corruption between private parties, incompatible negotiation, unfair administration), of illicit use of assets, any other offense provided by law 20.393. (*)		
<b>D</b>	He has been <b>banned</b> from participating in contracts with the World Bank, IFC, IDB or other relevant international financial organizations. (*)		
<b>E</b>	It is in a list of international or governmental <b>restrictions</b> (list of restricted parties) (*)		

(\*)If your answer to any of the above statements is "Yes", we ask you to indicate in the table below, for each of them:

<i>(Insert the corresponding LETTER according to the preceding table, where your statement is "YES")</i>	(i) the respective behaviors and crimes,	(ii) the entity or person (s) that was / were formalized or convicted or subject to investigation,	(iii) year of the penalty applied (* if appropriate)	(iv) amount of the penalty applied (* if appropriate)	(v) the name, badge and / or identification number of each case or investigation (name and number). (* if appropriate)

**Add more rows, if necessary.**

Date:

Signature:

Name and ID Number/Passport:





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**Annex 1: Property Relationship and Management Relationship**

**Participate in the Property:** be partners or owners of the company.

**Participate in Management:** have positions such as members of the Board of Directors, legal representatives, chief executives (that is, positions such as President, Vice-Presidents, General Managers, Managers or similar denominations according to the type of company).

**Annex 2: Codelco positions**

<ul style="list-style-type: none"> <li>Members of the Board of Directors of the Corporation</li> </ul>
<ul style="list-style-type: none"> <li>Senior Administration:             <ul style="list-style-type: none"> <li>- CEO</li> <li>- Vice Presidents</li> <li>- General Manager of Divisions</li> <li>- Structural Project Manager</li> <li>- Legal Counsel</li> <li>- Auditor General</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>Executives, Managers, and Line Headquarters             <ul style="list-style-type: none"> <li>- Managers (both functional areas and projects)</li> <li>- Directors, Superintendents, Deputy Managers and Heads of Department or other positions of Headquarters (up to the fourth hierarchical level).</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>Other positions and functions             <ul style="list-style-type: none"> <li>- Advisors: of the Board of Directors, Executive President, Vice-Presidents and General Managers</li> <li>- All personnel who must issue recommendations and / or have powers to resolve tenders, awards.</li> </ul> </li> </ul>

**Annex 3: Family Relations for PER Affidavit:**

Spouse or civil partner, and blood relations up to the **2nd degree of consanguinity and 2nd degree of affinity**. This degree of consanguinity or affinity reaches the people indicated in the following table.

<b>CONSANGUINITY</b>		<b>AFFINITY</b>	
<b>RELATIONSHIP</b>	<b>degree</b>	<b>RELATIONSHIP</b>	<b>degree</b>
Parents	1°	Father/Mother-in-law	1°
Children (also adopted)	1°	Daughter in law, Son in law	1°
Brothers and Sisters	2°	Step parents	1°
Grandparents	2°	Stepsons	1°
Grandchildren	2°	Brother/Sister-in-law <sup>1</sup>	2°
		Spouse's Grandson	2°
		Spouses of the grandchildren	2°

<sup>1</sup> Brother/Sister-in-law: they can be the spouses of my brothers and sisters and also the brothers and sisters of my spouse

Date:

Signature:

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These degrees of kinship apply equally to the widower (a), with respect to the blood relatives of the deceased spouse / cohabitant

Also included in this relationship are those with whom a stable and permanent marital life is maintained, without being united in marriage or civil union (cohabiting).

**Annex 4: PEP charges:**

1	President of the Republic, Senators, deputies and mayors
2	Ministers of the Supreme Court and the Courts of Appeals
3	Ministers of State, undersecretaries, mayors, governors, regional ministerial secretaries, ambassadors, senior heads of services both centralized and decentralized (*)
4	Commanders-in-Chief of the Armed Forces, General Director of Police, General Director of Investigations (*)
5	Directors and main executives of state-owned companies, as defined in Law N° 18.045
6	Directors of public limited companies appointed by the State or its agencies.
7	Members of the political party directives.
8	National Prosecutor of the Public Ministry and Regional Prosecutors
9	Comptroller General of the Republic
10	Directors of the Central Bank of Chile.
11	President and Counselors of the State Defense Council.
12	Constitutional Court Ministers..
13	Ministers of the Free Competition Court.
14	Full members and substitutes of the Public Procurement Court.
15	Members of the Board of Senior Public Management.
16	Candidates not elected from presidential, parliamentary and mayor elections, at least up to one year after the end of the respective election.
17	Campaign administrators and other staff of candidates, registered in the Electoral Service in districts and constituencies in the Codelco areas of influence, until one year after the end of the respective election.
18	Study Centers related to political parties, and / or their managers.

Date:

Signature:

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Name and ID Number/Passport:

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**Annex 5: Family Relations for PEP Affidavit:**

Spouse or civil partner, and relatives up to **the 2nd degree of consanguinity and 1st degree of affinity**. This degree of consanguinity or affinity reaches the people indicated in the following table.

<i>CONSANGUINITY</i>		<i>AFFINITY</i>	
<b>RELATIONSHIP</b>	<b>degree</b>	<b>RELATIONSHIP</b>	<b>degree</b>
Parents	1°	Father/Mother-in-law	1°
Children (also adopted)	1°	Daughter in law, Son in law	1°
Brothers / Sisters	2°	Step parents	1°
Grandparents	2°	Stepsons	1°
Grandchildren	2°		

These degrees of kinship apply equally to the widower (a), with respect to the blood relatives of the deceased spouse / cohabitant.

Also included in this relationship are those with whom a stable and permanent marital life is maintained, without being united in marriage or civil union (cohabiting).

**Date:****Signature:****Name and ID Number/Passport:**