



ALEATICA

RHS-NORM-20

SUPPLIER CERTIFICATION, REGISTRATION AND ASSESSMENT NORM

Norm assigned to:

Global Process and
Continuous
Improvement Function

Revised by:

Global Compliance and Risk Function
Global Legal Function

Approved by:

Date: May 11th 2022
ALEATICA Management Committee

Scope:

This shall apply to all of the Companies in which ALEATICA SAU or ALEATICA SAB have a controlling interest. For those Companies in which ALEATICA has an interest and where it has appointed a member of its governing body, such members shall propose that measures be taken which are similar to those stated herein and shall report to the keeper of this document on whether the investee Company has taken measures that are comparable to those established here or adopted the latter.

**Document
classification**

For Internal use

Change tracking

Revision	Section	Brief description of the change
02		<p>This document contains the following changes:</p> <ul style="list-style-type: none"> • It updates to the forms and corporate image. • It annuls of document RHS-PCTO-01 Supplier Certification, Registration and Assessment Norm.
03		<p>24/Nov/2020: The documents required for Supplier Certification and Registration are described detailed and the approvals for excluded cases are adjusted.</p> <p>27/Jan/2021: <u>Table 2. Requirements for Supplier Registration</u> is updated.</p> <p>Nov/2021: <u>Table 2. Requirements for Supplier Registration</u> is updated.</p> <ul style="list-style-type: none"> •The excluded cases for the purchase of goods and services are detailed. •The requirements for the registration of ALEATICA Companies and for Retail suppliers are defined. •Evaluation of suppliers for multi-year contracts. Fullstep tool for all countries. <p>Feb/2022 •The Sustainability Assessment Certificate is incorporated.</p>
04		<p>The Watchlist process is incorporated.</p> <p>Appendix 5. Exchange Equivalence is updated</p> <p>Aug/2023 Add Appendix 7. Sustainability Checklist for Suppliers</p>

Related and applicable documentation

Code	Document Name
	Code of Ethics
	Antibribery Policy
DPM-POLI-01	Regulatory and Quality Control Policy
RHS-NORM -14	Purchasing and Contracting Norm
DCR-NORM-03	Third Party Compliance Due Diligence

CONTENTS

1. PURPOSE	4
2. DEFINITIONS	4
3. SUPPLIER CERTIFICATION	5
4. ALEATICA'S ASSESSMENT OF THE SERVICE PROVIDED BY THE SUPPLIER ...	14
5. SUPPLIER SATISFACTION SURVEY	17
6. APPENDIX	17
Appendix 1. Approval Certificates	18
Appendix 2. Financial Statement Assessment Tool	21
Appendix 3. Supplier Certification.....	22
Appendix 4. List of Directors of Requesting Area and Purchasing Controller	23
Appendix 5. Exchange Equivalence	26
Appendix 6. Security Declaration (Only to Ports).....	27
Appendix 7. Sustainability checklist for suppliers	28

1. PURPOSE

This Norm regulates the process for assessing and verifying, prior to contracting, the competencies and qualifications that potential suppliers of goods and services must have. Thus, if ALEATICA decides to award a work contract, goods or services to a Certified Supplier, there will be an assurance that it has the necessary technical, financial and compliance skills. In addition, this Norm also lays down a process for valuing the services provided by each contracted supplier. As a result of this assessment, reliable information on the experience with such a contractor will be available.

2. DEFINITIONS

Bidding: process of requesting competitive bids convened by ALEATICA in order to award the corresponding contract to the interested party who has made the proposal that represents the greatest value for the company.

Certified Supplier: supplier that has the Technical Certificate, Financial Certificate and the Third-Party Compliance Due Diligence. As an exception and for certain contracts, a supplier may be considered a Certified Supplier with only the Third-Party Compliance Due Diligence.

DAP: Delegated Authority Policy, which refers to the Authorization policy approved by the Board of Directors that corresponds.

Director of Requesting Area: executives from each Business Unit designated as responsible for purchases. In the Appendix 4. List of Directors of Requesting Area and Purchasing Controller is defined the list with the details of the Directors of Requesting Area of the Business Units. The list of Directors of Requesting Area must be authorized by the Executive Committee.

Financial Certificate: document which aims to check and approve the economic and financial conditions of the supplier.

Interested: third party who is interested to have a contractual relationship with ALEATICA.

Purchasing Controller: Business Unit employees defined for supervision and purchasing process control: validate the comparative table, validation of purchases with functional dependence, keep the Purchase File and management of key performance indicators of the purchasing process. For Business Units the Purchasing Controller shall be appointed by the Director/Manager of the Business Unit and, for corporate purchases, the Purchasing Controller shall be appointed by the ALEATICA Management Committee.

In the Appendix 4. List of Directors of Requesting Area and Purchasing Controller is defined the list with the details of the Purchasing Controller of the Business Units, and any changes must be authorized by the ALEATICA Management Committee.

Purchase File: File that contains the documentation for the purchasing process, the preparation and safekeeping of which shall be the responsibility of the Purchasing Controller.

Requesting Area Leader: is the purchase responsible that belongs to an area of ALEATICA Corporate or Business Unit that requires the service or the good to be purchased. The Requesting Area Leader will be responsible for preparing the Invitation Letter, conducting the search for suppliers, preparing the comparative table and coordinating the Supplier Certification and monitoring the delivery of the good or service. The Requesting Area Leader shall manage the purchasing process through each stage of the process, without unnecessary delays in the collaboration with other Business Units.

Responsible for Control of Supplier Certification: refers to the ALEATICA collaborator who validates all the information necessary to carry out the Supplier Certification and administers the Supplier Registry.

Supplier Registry: Repository that contains the support documentation for the contracting and registration of suppliers. Link: [Registro Único de Proveedores](#).

Supplier Certification: process that ensures the supplier's qualification to provide products or services that meet the compliance and quality requirements set by ALEATICA. It comprises the Technical Certificate, Financial Certificate and Third-Party Compliance Due Diligence.

Technical Certificate: document which aims to verify and certify the technical capabilities of the supplier.

3. SUPPLIER CERTIFICATION

The Supplier Certification is part of the set of norms that regulate the purchase process and the services contracted by ALEATICA, its subsidiaries and Business Units (hereinafter ALEATICA). Contracting in ALEATICA must always be carried out with Certified Suppliers except in those cases where any Norm expressly establishes an exception to this rule.

In the case of collaboration agreements, sponsorships, donations or contributions to not-for-profit organizations, it shall be necessary to obtain a certification of a third-party under the terms set forth in the norm DCR-NORM-14 Donations and Sponsorships Norm and other applicable norms.

In the event that ALEATICA provides services to customers, it will not be necessary the Supplier Certification of the receiving customers of such services, without prejudice to observing the precautions of good business management, such as solvency, ability to pay, etc.

3.1. General

Supplier Certification shall be performed by the Requesting Area Leader and supervised by the Director of the Requesting Area.

The supplier selected to provide the good or service must be a Certified Supplier. If the Requesting Area considers it necessary to Certify all the Interested in the bid, it may carry out this process.

The Supplier Certification must always be carried out prior to the registration in the ALEATICA systems and prior to the signing of the contract.

Once a Supplier is Certified by ALEATICA shall continue to be considered a Certified Supplier for a period of two years, unless is it determined that it no longer meets the conditions for approval. At the end of this two-year period, the Supplier shall repeat the approval process in order to contract with ALEATICA. If during the performance of a contract, the Supplier loses the conditions that justified the Supplier Certification for reasons other than the mere course of the 2-year period, the Director of the Requesting Area, after consulting with the Legal Department, shall make the appropriate approach (to maintain, modify or end the contract), to whom according to the DAJ-POLI-01 Delegated Authority Policy DAP must approve such contract.

The Certification performed on a Supplier from one Business Unit in ALEATICA shall be valid so that Supplier can contract with any other Business Unit for the same product or service. If the Supplier is based in several countries, it is sufficient the Supplier Certification in a single country. Once this Supplier has been Certified in one country, Business Units located in other countries that require the same services as the Supplier will not need to perform a new Supplier Certification. For the purpose of accreditation of the existence of the Supplier Certification, the Business Units requiring such services shall request the necessary information to the Responsible for Control of Supplier Certification.

If the Business Name of an already Certified Supplier is different in the country in which the contract will be made, it will be necessary to carry out the Homologation of the supplier independently.

3.2 Supplier Certification scope: excluded cases

All **contracts equal or that exceed 100,000 euros**¹ or the equivalent in local currency shall require Supplier Certification, which shall include the Technical Certificate, the Financial Certificate and the Third-Party Compliance Due Diligence.

Contracts for less than 100,000 euros or the equivalent in local currency shall not require the Financial Certificate. However, a Technical Certificate will be required with simplified information mentioned in the [Table 1. Requirements for Certification](#) and, for any purchase greater than 5,000 euros or the equivalent in local currency, the performing of the Third-Party Compliance Due Diligence.

It shall not be necessary to obtain the Financial Certificate or the Technical Certificate in the case of the following **services and goods**, regardless of the amount of the corresponding contract:

1. Legal firms, notaries, solicitors or other similar providers of legal services, provided they have been authorized through email by the Global Director of Function (Legal, Global CFO (Taxes) and Human Resources (labor relationship)) that requires this service.
2. Banks, insurance companies, leasing companies or other financial institutions, provided they have been authorized by the Global CFO or by one of the direct reports of the Global CFO (Financial Directors) via email.
3. Strategic or business consultants for advice of this nature authorized through email, in corporate by the Global Director of the Function that requires this service or, in the Business Unit by the Regional Director or the Director/Manager of the Business. This exception does not include engineers or providers of technical services or consulting related to infrastructure, traffic, materials, construction, etc. and these types of providers must therefore undergo the approval process.
4. Accounts Auditors or statutory auditors registered where they provide their services.
5. IT service suppliers, acquisition of software or information packages provided they have been authorized via email by the Global IT Department.
6. Services provided by Public Administrations, public companies or any other kind of government agency.
7. Leases of real estates.

¹ In the [Appendix 5. Exchange Equivalence](#) are the applicable amounts for each country or currency type.

8. Convenience stores, self-service stores, department stores, online stores and the like that provide services related to the sale or balance recharges of TAGs (electronic toll collection devices).
9. ALEATICA'S companies.
10. Listed or public companies, sharing the screenshot of the stock exchange institution. Even in the case of a listed entity, for the case of approvals of the entities found to provide the related services in points 1, 2, 3 and 5, approval for such points shall be sought by e-mail. If the company to be Certified is part of a listed company, additional supporting documentation will be necessary to demonstrate this relationship.
11. Membership in business, professional or strategic support associations, such as memberships, with the approval of the Global Director of the Function for corporate or, in the Business Unit by Director/Manager of the Business or the Regional Director via email.
12. Any other good or service decided by ALEATICA's Executive Committee or the Board of Directors of ALEATICA SAB or SAU evidenced through the certification of the secretary of the Board or Management Committee or, with a statement from the Global Director of the Function in the corporate or, in the Business Units of the Director/Manager of the Business Unit by an email to the Purchasing Controller.
13. Purchases of movable property or semi-movable property (example: mobile vehicles, cranes, among others) and put up for sale to the public and have not been manufactured from special specifications requested by ALEATICA.
14. Purchases of supplies or non-specialized products (e.g., medicines, printing toner, stationery).

In all these cases of contracting goods or services in which the Technical or Financial Certificate is not required, the Third-Party Compliance Due Diligence must be obtained for purchases that exceed 5,000 euros.

The amounts of the contracts indicated above that require the supplier to obtain the corresponding Supplier Certification shall be, for each contract, the total amount of the payments that must be made by ALEATICA over the entire life of the agreement (excluding Local Taxes).

3.3 Accreditations for the Supplier Certification process

In order to certify a supplier, it must meet the Technical, Financial and Compliance requirements:

Technical Certification. This certification shall be issued by the Requesting Area Leader and the purpose shall be to certify whether an Interested has the technical ability to provide the service in question.

The analysis carried out by the Requesting Area Leader is aimed at the evaluation of the following aspects:

- a. Verification of technical capabilities. It shall be necessary to evaluate whether the supplier has any of the following:
 - Certifications related to the subject matter of the contract (for example, ISO 9001, 14001 or 18001, executive coaching certification). The supplier must provide a copy of the corresponding valid certification, or

- Certified product. Have product certification as per the applicable standard issued by an accredited certifying body. The supplier must provide a copy of the corresponding valid certification, or
 - Accreditations by government agencies or specialized agencies, depending on the line of business in question, or certification of the personnel who work for the company (Electric, Environmental, Structural, among others). The supplier shall provide a copy of the accreditation with a validity of no more than 5 years from its issuance or,
 - Experience. The supplier must have a positive average rating of 3.5 to 5 (Reliable and/or Reliable with some opportunities) in the average of the evaluations in previous contracts (if applicable) with ALEATICA and/or Letter of Recommendation on letterhead (minimum 2 letters and with issue date no more than 1 year old, to which it makes the recommendation: name, telephone and /or email). The mere relationship of the contracts concluded by the supplier with other undertakings shall not be considered as a letter of recommendation, since this list is not an assessment of a previously provided service.
- b. **Compliance with social security obligations.** If the supplier's employees physically provide the service at ALEATICA's facilities, the supplier must verify that it has certification by the applicable public authorities that indicates that it is current on its social security payments or other similar obligations.
- c. **Security/Safety Analysis** it is done by the Safety Responsible of the Business Unit or in corporate by the Global Safety Direction of ALEATICA, who will issue an email or certificate confirming that the supplier is eligible for Safety to carry out the service. To carry out this analysis, the Requesting Area Leader will deliver to the Safety the document that accredits the implementation of a Safety Management System, for example:
- ISO 45001 with the respective documentary supports or,
 - Company Health and Safety Policy or,
 - The organizational chart of the Health and Safety structure.
- d. **Sustainability Assessment,** it is done by the Environmental Control or Sustainability Responsible of the Business Unit and by the Sustainability and Customer Attention Function, who will issue the Sustainability Assessment Certificate confirming the supplier's risk in Environmental matters to carry out the service. This valuation will be applicable during the term of the contract and must be made for suppliers that provide services related to:
- Execution of social or environmental projects,
 - Major or minor maintenance projects,
 - Construction or demolition projects,
 - Lessors of major and minor machinery or vehicle fleets.

The Requesting Area Leader will contact to the Environmental Control or Sustainability Responsible, indicating the name of the supplier, contact details of the supplier and the scope of the service or product to be contracted.

With this information, the Environmental Control or Sustainability Responsible will request from the supplier the documents on environmental compliance that are applicable according to the scope of the services and / products offered. The Environmental Control or Sustainability Responsible and the Global Sustainability Function will have 10 working days from the receipt of the information to issue the Sustainability Assessment. This Certificate shall be issued in accordance with the model set out in [Annex 1. Approval Certificates](#).

Additionally, as a guide and support for the preparation of the Sustainability Assessment, is available the [Appendix 7. Sustainability Checklist for Suppliers](#).

- If the Sustainability Assessment results is low risk, no additional approval is needed to continue with the Supplier Certification.
- If the Sustainability Assessment results is medium risk, the approval of the Director/Manager of the Business Unit or, in corporate of the Global Director of the Function, will be needed to continue with the Supplier Certification.
- If the Sustainability Assessment results is high risk, the approval of the Regional Director in the Business Units or, in the corporate of the CEO of ALEATICA, will be needed to continue with the Supplier Certification.

- e. **Compliance with AEO obligations (Applicable only to Ports)**, suppliers that present their services in Business Units that are Authorized Economic Operator (AEO), will be asked for proof of AEO Authorization Concession. In the case of not having it, it will be required to comply with the requirements contained in the document of the European Commission of guidelines of Authorized Economic Operators approved by the CCC-GEN on March 11, 2016(https://www.agenciatributaria.es/static_files/AEAT/Aduanas/Contenidos_Privados/Procedimientos_aduaneros/OEA_operador_economico_autorizado/Info_de_utilidad_titulares_certificados_OEA/Orientaciones2016.pdf) and in particular, to sign a Security Declaration, the model of which is set out in [Appendix 6. Security Declaration \(Only to Ports\)](#).

Once all the above aspects have been verified, the Requesting Area Leader shall determine whether the Interested is or is not technically capable of providing the good or service in question. To this end, the Director of Requesting Area shall sign the Technical Certificate, which shall provide details on the goods or services for which the supplier shall be considered to be a Certified Supplier. A model Technical Certificate is included in [Appendix 1. Approval Certificates](#).

Financial Certification. certified aimed at assessing the solvency and financial capacity of the Interested.

The Business Unit's Finance Area shall perform the Financial Statements assessment for the last 2 years with the tool [Appendix 2. Financial Statements Assessment Tool](#) to evaluate the financial ratios of solvency, liquidity, indebtedness and profitability. In addition, as part of the assessment the opinion of tax responsibilities will be considered to validate compliance with tax obligations.

According to the results obtained from the Financial Statements assessment and the fiscal responsibilities analysis, the Finance Department of the Business Unit shall issue the Financial Certificate, where shall define whether or not the supplier is Financially Qualified or Not Qualified and shall provide indications with respect to the financial capability of the Interested

to comply with its regular obligations under the contract in question, pointing out, when applicable, any potential risks that need to be kept in mind and how to solve them in the contract entered into with the supplier. As example, among others, the guarantees that must be requested if ALEATICA will make any advance payments.

The Business Unit's Finance Area shall have 10 business days from when it has the information, to complete the financial certification and issue the Financial Certificate. This Certificate shall be issued based on the model included in Appendix 1. Approval Certificates.

Third-Party Compliance Due Diligence. This is the review conducted by the Global Compliance Department in accordance with DCR-NORM-03 Third-Party Compliance Due Diligence. The request for the Third-Party Compliance Due Diligence must be made by the Requesting Area Leader in accordance with the mentioned norm.

The Global Compliance Department shall have 10 business days from when it has the information to issue the result of Third-Party Compliance Due Diligence.

If the result of the Third-Party Compliance Due Diligence corresponds a low result, it will be necessary to attach the email. For the case where the Third-Party Compliance Due Diligence yields a medium or high result, it will be necessary to also attach the Due Diligence Report approved in accordance with the provisions of the DCR-NORM-03 Third-Party Compliance Due Diligence.

Once the three accreditations have been issued for the Supplier Certification (Technical, Financial and Compliance), or, when applicable, only the accreditations required in the case in question have been issued, the Requesting Area Leader shall document the Supplier Certification by signing the form in Appendix 3. Approval Certificate, and this signed format must be attached to the support documentation.

Depending on the amount of the purchase, for a supplier to obtain final approval it must meet the following requirements:

Table 1. Requirements for Supplier Certification

Certificate	Requeriments (Check List)	Purchase	Purchase	Purchase	Result
		<5K Euros	>5K <100K	>100K Euros	
Technical	Verification of technical capabilities: i. Certifications (for example: ISO 9001, 14001 o 45000, others) or, ii. Certified product, or iii. Accreditations, or iv. Recommendation Letter (minimum 2 letters and with issue date no more than 1 year old, must contain the contact details of the Company making the recommendation: name, telephone number and / or email) or positive internal assessment		✓	✓	Qualified or Not Qualified
	Labor responsibilities with a positive and current opinion Mexico: http://www.imss.gob.mx/tramites/cumplimiento-obligaciones Spain: http://run.gob.es/uemexf Peru: https://www.servir.gob.pe/sst/sst-modelos-y-formatos/ Chile: Certificate of Labor and Social Security Background. Other countries: the certifying documentation that must be issued by the competent authority.	✓	✓	✓	
	In Mexico: If the supplier does not have direct employees, he/she must explain how he will provide the services that will be contracted to him/her. If the provider is a natural person: document that proves a social assistance responsibility and contains the Name of the natural person (eg: Proof of Validity of Rights (IMSS) or medical expenses insurance)				
	Safety: i. Email or certificate confirming that the provider is eligible for Safety. ii. ISO 45001 or Company Safety and Health Policy or The Safety and Health Structure Organization Chart.	✓	✓	✓	
	Sustainability: The analysis should be performed for suppliers that provide services related to: i. Execution of social or environmental projects, ii. Major or minor maintenance projects, iii. Construction or demolition projects, iv. Lessors of major and minor machinery or vehicle fleets.	✓	✓	✓	
Compliance	Third-Party Compliance Due Diligence Analysis (Norm DCR-NORM-03 Third-Party Compliance Due Diligence)		✓	✓	High Risk, Medium or Low
Financial	Analysis of the financial ratios of solvency, liquidity, indebtedness and profitability calculated based on the financial statements for the last 2 years.			✓	Qualified or Not Qualified

Amounts in thousands of euros

- ✓ Applies if the supplier's employees will work physically at ALEATICA's facilities
- ✓ Mandatory requirement

In order to Certify the supplier it is necessary for the results of the Technical and Financial Certificates to be: Qualified, and for the Third-Party Compliance Due Diligence to have the corresponding approvals.

In addition to the requirements for approval, the following documents will be necessary to make the entry of the supplier in the Fullstep Tool.

Table 2. Requirements for Supplier Registration

Requirements for supplier registration in the system (Check List)	México	Spain	Peru	Chile	Colombia	Italy	Providers of other nationalities
<p>1. Tax Registration in accordance with the laws of the Country (RFC, RUT, NIF, RUC Updated, VAT, etc.)</p> <p>Chile: RUT of the SII, applies to legal persons not exceeding 1 year of issuance.</p> <p>Colombia: RUT that identifies the NIT (Tax Identification Number).</p> <p>Italy: VAT / Tax Code.</p> <p>Mexico: Constancy of Fiscal Situation with Active status and with an issue date of no more than 1 year at the time of filing the Approval documentation.</p> <p>Peru: RUC no more than 7 days.</p> <p>Spain: NIF.</p>	✓	✓	✓	✓	✓	✓	✓
<p>2. Legible constituent act of the undertaking containing the full social reason, which matches the name registered in the Tax Register and which contains the social object described in the Certificate of Approval.</p> <p>The document must be scanned in a single PDF (not per page).</p> <p>Chile: Public writing of incorporation of the company, with copy of registration, marginal annotations and certificate of validity issued by the Register of Commerce. It applies purchases greater than 12K Euros (with contract) and suppliers that are not commercial reasons. It does not apply to natural persons.</p> <p>Colombia: Chamber of Commerce Certificate with date of issue no more than 60 days or Consorcial Agreement.</p> <p>For Suppliers of other nationalities: Registration in the Chamber of Commerce of the corresponding country will be valid.</p> <p>Italy: Business Registration Report (Chambers of Commerce).</p> <p>México: For natural persons to apply for CURP, the Constitutional Act does not apply to natural persons.</p> <p>Peru: applies for purchases over 12000 Euros, company life (No more than 30 days).</p>	✓	N/A	✓	✓	✓	✓	Optional
<p>3. Notary Power of Attorney sealed by the Notary, which contains the name of the legal representative and the name of the social reason registered in the Tax Register. For purchases greater than 12K Euros.</p> <p>The powers that legal representatives must have to sign contracts with ALEATICA are "powers for acts of administration"</p> <p>Mark or highlight in the document the section where the detail of the Powers that the legal representative has is mentioned.</p> <p>In the event that the powers are included in the charter, mark or highlight in the Minutes the section mentioning the details of the Powers with which the legal representative has.</p> <p>The document must be scanned in a single PDF (not per page).</p> <p>Does not apply to individuals.</p> <p>Chile: Public scripture in which the powers of attorneys are recorded, with certificate of validity of the Registry of Commerce, applies to suppliers that are not commercial reasons. It does not apply to natural persons.</p> <p>Colombia: Chamber of Commerce Certificate with date of issue no more than 60 days or Consorcial Agreement.</p> <p>Italy: Company Registration Report.</p> <p>Peru: validity of powers of legal representatives for the case of legal persons (no more than 30 days).</p> <p>Spain: Powers will be requested only for purchases that require a contract.</p>	✓	✓	✓	✓	✓	✓	Optional
<p>4. Proof of domicile (not more than three months) or Bank Statement containing the supplier's registered office (where the company or supplier is located), if applicable for the country. (Valid document: CFE, Water, Telephone (mobile phone is not accepted)/Internet Service, Gas Service or Bank Statement)</p> <p>If you use the Bank Statement as proof of address, make the clarification on the Certificate of Approval.</p>	✓	N/A	✓	N/A	N/A	N/A	N/A

5. Certificate of Banking Ownership or Bank statement in the name of the provider's social reason (not more than three months) where the bank and account number where the consideration payment will be made is displayed or, letter signed and stamped (if possible) by the bank executive. In the event that the Statement of State of Account does not have the name of the social reason of the provider to be registered, attach the Trust Agreement that defines that the supplier relates to the company declared in the Statement of Account. Colombia: Banking certification not more than one year old. Italy: the bank account is declared by the contractor (support document is optional)	✓	✓	✓	✓	✓	✓	✓
6. Tax responsibilities with a positive current opinion no more than 1 year after its issuance Chile: Electronic Tax Folder or Certificate of the General Treasury of the Republic. Colombia: applies for purchases greater than 5,000 Euros, for legal persons the document of the Comptroller General of the Republic of the Legal Representative and the company will be required, in the case of natural persons only the document of the Comptroller General of the Republic of the supplier to be contracted will be required: https://www.contraloria.gov.co/web/quest/control-fiscal/responsabilidad-fiscal/certificado-de-antecedentes-fiscales Italy: Documento Unico di Regolarità Fiscale - DURF (only for procurement and subcontracting contracts with frequent use of labour and for an amount exceeding 200,000 euros per year). México: https://www.sat.gob.mx/consultas/20777/consulta-tu-opinion-de-cumplimiento-de-obligaciones-fiscales Other countries: the supporting documentation to be issued by the competent authority. Perú: Electronic invoicing in SUNAT or Coercive Debt Status Report (Consult RUC - SUNAT) Spain: https://www.agenciatributaria.gob.es/AEAT.sede/Inicio/Procedimientos_y_Servicios/Certificaciones/Situacion_Tributaria/Situacion_Tributaria.shtml	✓	✓	✓	✓	✓	✓	Optional
Only applies to Colombia • Certificate of payments per day in work obligations and parafiscal or Social Security Payments for the corresponding period. • Certificate of Shareholding Composition.	N/A	N/A	N/A	N/A	✓	N/A	N/A
Only applies to Chile Those companies that are registered with the Ministry of Economy, Development and Tourism the documents as constitutive act and validity of powers will correspond to the denomination of "Companies of a day".	N/A	N/A	N/A	✓	N/A	N/A	N/A
Only applies to México • Employer or Discharge Identification Card in the IMSS signed digitally or autograph, containing the name of the provider's social reason and the IMSS digital or ink stamp, or ISSSTE number. Applies to the purchase or contracting of Services. Does not apply to individuals. • Services Checklist (Applies to the purchase or contracting of Services) • REPSE - Registry of Providers of Specialized Services or Specialized Works.	✓	N/A	N/A	N/A	N/A	N/A	N/A

Note: The [Privacy Notice](#) for the management of supplier documents is defined by the Global Data Protection Officer and will be available to suppliers who require it.

For ALEATICA Companies, it will only be necessary to request the Tax Registration and the Certificate of Banking Ownership or Bank statement.

For TELEVÍA Retail suppliers, it will only be necessary to request the Tax Registration, the Certificate of Banking Ownership or Bank statement and the Tax responsibilities.

3.4 Authorization of Supplier Certification

Once the necessary accreditations have been obtained, it will proceed as follows: the Requesting Area Leader will send to the Purchasing Controller all the documentation in digital format, who will subsequently upload it to the Fullstep tool. The Responsible for Control of Supplier Certification will review the documentation and shall have 5 days to carry out this process from when it has all the information, and if they decide to approve the supplier, they shall communicate that fact expressly to the Purchasing Controller through the Fullstep Tool.

Once approved, the Purchasing Controller will send the Requesting Area Leader a copy of Appendix 3. Approval Certificate.

3.5 Supplier Registry

With the Supplier Certification, the Responsible for Control of Supplier Certification shall include the supplier in the Registro Único de Proveedores and in the ALEATICA's system prior to generation of the corresponding Purchase Order or Contract.

In addition to the requirements for Supplier Certification, the following documents will be required to make the supplier's entry in the Supplier Registry and in the ALEATICA's system.

Any modification in the financial, technical or Compliance circumstances of a supplier must be communicated by the Director of Requesting Area and duly justified to the Responsible for Control of Supplier Certification to define in conjunction with the Global Director of Processes and Continuous Improvement the treatment that must be implemented to the supplier.

4. ALEATICA'S ASSESSMENT OF THE SERVICE PROVIDED BY THE SUPPLIER

Upon completion of the provision of the work, good or service, the Requesting Area Leader shall perform a qualitative assessment of the supplier's performance using the link: Evaluación Del Servicio.

The assessment of the service provided by the supplier, it will be mandatory for purchases equal or that exceed 12.000 euros or the equivalent in local currency and, for purchases less than 12.000 euros or the equivalent in local currency, the assessment of the service provided by the supplier could be optional.

In the case of multi-year contracts, the assessment of the service must be carried out at least 1 time per year.

The assessment of the service provided by the supplier throughout the contract shall be carried out considering the following aspects:

- a. Technical capability: The supplier had appropriate equipment and/or qualified personnel to perform the project or service.
- b. Quality of the product or service: Evaluation of the technical quality of the product acquired or the service contracted and whether it is appropriate for ALEATICA's needs. The assessment will also include an evaluation of whether the deliverables met the specifications set forth in the base for the bid, if applicable.
- c. Compliance within the established terms: Assessment of the timely delivery of the products, materials, supplies, or provision of the service on the agreed due dates set forth in the planning for the project.
- d. Resolution of unexpected incidents: Assessment of the supplier's performance when providing the support and/or training needed before, during or after acquisition of the good and/or service.

- e. Technical documentation: Assessment of the support documentation provided as a deliverable for the products or services that require documentation of this kind to be operated / handled correctly.

In addition, the following topics will be evaluated:

- Safety Documentation: the number of accidents presented during the execution of the contract, as well as the detail of them.
- Code of Ethics and Antibribery Policy: business conduct that is not accordance with the Code of Ethics y/o Antibribery Policy, as well as the detail of them.
- Sustainability: compliance and incidents in social and environmental matters.
- Legal: compliance with contracts already signed.

One the Requesting Area Leader has conducted the supplier's assessment through the mentioned link, the Responsible for Control of Supplier Certification will automatically receive the results of the assessment, who will record the result of all assessments of the group in the [Registro Único de Proveedores](#). The assessment of the supplier must be complete within the 60 days following delivery of the good or provision of the service.

The aspects indicated above shall be evaluated on a scale of 1 to 5, based on the following criteria:

Criterion	Classification	Description
Technical capability	5	Has equipment with the most recent technology. Certified personnel and/or with proven experience.
	4	Has equipment with sufficient technology. Personnel with ample experience.
	3	Has equipment that requires maintenance or replacement, but still has the ability to provide the good or service. The personnel need training.
	2	Equipment not up to date / replaced, insufficient technical capability. The personnel need training.
	1	Facilities and/or equipment need immediate updating. The personnel are not trained.
Quality	5	Exceeded the quality expectations.
	4	Reasonably met the required quality levels.
	3	Complies with the minimum requested quality levels. The work is adequate.
	2	Quality is deficient and the required minimum was not met.
	1	The required quality was not met - Complete lack of compliance with the criteria.
Terms compliance	5	Always complied with the agreed terms.
	4	Usually complied with the agreed terms, with minor delays corrected without intervention.
	3	Occasional delays that are eventually compensated for. Constant control is required and there are clearly opportunities for improvement.
	2	The supplier does not comply with the terms or does so irregularly. Intense and constant control by the manager of the contract is required.
	1	Does not comply with the agreed terms - Complete lack of compliance with the criteria.
Resolution of unexpected incidents	5	Always available and prompt resolution of unexpected incidents with the expected results.
	4	Demonstrates availability but takes time to provide an effective solution.
	3	Demonstrates availability but usually does not have the knowledge or technical ability to resolve unexpected incidents.
	2	Demonstrates availability but does not have the knowledge or technical ability to resolve unexpected incidents.
	1	Does not resolve unexpected incidents.
Technical Documentation	5	Delivers all of the required technical documentation and also trains the end user and answers questions.
	4	Delivers all of the required technical documentation and is willing to answer questions.
	3	Delivers all the required technical documentation.
	2	Delivers technical documentation at the request of the user of the good or service.
	1	Delivers incomplete documentation or does not deliver it.

Each aspect has an assigned percentage that will be multiplied by the assigned rating and the supplier will be assigned a classification, as shown in the example below:

Criterion	Percentage	Rating	Score
Technical capability	20%	4	=4*.20=0.80
Quality of the product / service:	25%	5	=5*.25=1.25
Term compliance	25%	4	=4*.25=1
Resolution of unexpected incidents	18%	4	=4*.18=0.72
Technical Documentation	12%	3	=3*.12=0.36
Suma	100%		4.13

If any criteria are not applicable, the percentage assigned must be distributed equally among the other criteria that do apply.

The classification of the supplier shall be determined based on the score obtained, as follows:

Score	Supplier classification	Description
4.00 – 5.00	Reliable	Suppliers that ALEATICA will seek out for future work or projects. Trusted and reliable quality and reputation.
3.50 – 3.99	Reliable with some opportunities	Suppliers that can be considered to be the second best option. It is not imperative for them to do so, but it is preferable for them to demonstrate their commitment to improving their areas of opportunity.
1.51 – 3.49	Conditional with significant opportunities	Contracting services or purchasing products from this supplier shall be conditional to the supplier making a commitment to resolve the deficiencies detected in previous transactions. The supplier shall be on the list of suppliers under observation until it has demonstrated that it has corrected its areas of opportunity. The supplier's approval becomes invalid.
Less than 1.50	Not reliable	Suppliers that ALEATICA will not work with or contract in the future. The supplier's approval becomes invalid.

In the case of suppliers that provide services to more than one Business Unit, the rating shall be averaged out to classify the supplier.

4.1 Watchlist

The list of suppliers under observation, or Watchlist, will allow the identification of third parties with opportunities for improvement in the provision of their services in technical, Safety, Compliance or Sustainability matters. The suppliers registered on the Watchlist will lose the Supplier Certification.

- **Technical Improvement Opportunities:** all suppliers that are evaluated with a score of less than 1.5 or Not Reliable will be registered in the Watchlist and the certification will become invalid. If you wish to work with the supplier again, the Requesting Area Leader must present the justification for requiring the good or service from the third party, the corrective action taken by the supplier and obtain the approval of the Regional Director in the Business Units or, in corporate of the CEO of ALEATICA, to initiate the Supplier Certification.
- **Safety, Compliance or Sustainability Improvement Opportunities:** when a supplier receives an unfavorable rating in the Safety, Compliance or Sustainability sections of the Service Evaluation, the Responsible for Control of Supplier Certification will share the results

with the Global Director of the Function to investigate the event and confirm whether the supplier should be placed on the Watchlist. If it is desired to work with the supplier again, the Requesting Area Leader must present the justification for requiring the good or service from the third party, the corrective action taken by the supplier and obtain the approval of the Global Director of the corresponding Function (Safety, Compliance or Sustainability) and that of the Regional Director in the Business Units or, in corporate of the CEO of ALEATICA, to start again the Supplier Certification.

The Approval Control Manager will keep the Watchlist updated in the [Registro Único de Proveedores](#).

5. SUPPLIER SATISFACTION SURVEY

At the end of the provision of the service or product, the Requesting Area Leader shall ask the Supplier to evaluate ALEATICA using the link: [Encuesta de Satisfacción de Proveedores](#). The results of the survey will automatically reach by the Responsible for Control of Supplier Certification, who will safeguard this information for further analysis in the [Registro Único de Proveedores](#).

6. APPENDIX

- Appendix 1. Approval Certificates
- Appendix 2. Financial Statement Assessment Tool
- Appendix 3. Supplier Certification
- Appendix 4. List of Directors of Requesting Area and Purchasing Controller
- Appendix 5. Exchange Equivalence
- Appendix 6. Security Declaration (Only to Ports)

Appendix 1. Approval Certificates

Technical Certificate

Through this document, according to the information received and validated, I **Certify** that the supplier (Supplier's name) is **technically capable** to execute, provide and/or deliver the following goods or services:

List of products or services that the Supplier may provide to ALEATICA:

-
-
-
-

Name of Director of Requesting Area	Signature of Director of Requesting Area
Date of Certification	

Financial Certificate

Through this document, according to the Financial Statements received and validated, I **Certify** that the supplier (Supplier's name) is **Financially Qualified** and that it has the financial capacity that will enable it to fulfil the obligations arising from the contract to execute, provide and/or deliver the following goods or services:

List of products or services that the Supplier may provide to ALEATICA:

-
-
-
-

Risks or recommendations to be considered:

¿Requires guarantees/bonds? Yes____ No____

Name of Finance Director of Business Unit	Signature of Finance Director of Business Unit
Date of Certification	

Valoración de Sostenibilidad

Through this document, once the information on environmental compliance has been reviewed, it is certified that the supplier (Supplier's Corporate Name) has obtained a Risk result (Low / Medium / High) to execute, provide and / or deliver the following goods or services:

List of products or services that the Supplier may provide to ALEATICA:

-
-
-
-

Risks or recommendations to be considered:

Signature of the Environmental Control or Sustainability Responsible of the Business Unit	Date:
Signature of the Sustainability Global Function	Date:
Additional signatures (according to the risk) <i>((Low Risk: No additional signatures required; Medium Risk: Dir/Gte UN / Dir. Global Function; High Risk: Regional Director / CEO of ALEATICA))</i>	Date:

Appendix 2. Financial Statement Assessment Tool



Evaluación EEFF

Evaluación de los estados financieros de la 3a parte

Nombre de la 3a parte

Registro Tributario

Fecha

28/04/2020

Tipo de Proveedor

Especifique el monto aproximado de la relación del negocio con el 3o (C)

Indique la duración aproximada de la relación de negocios con le 3o (en meses)

Indique si la empresa analizada es una matriz o, se trata de una filial dentro de una estructura más grande

Análisis de los estados financieros de la 3a parte

Indique si se conoce que la 3a parte se encuentra en alguno de los siguientes supuestos

Si aplica, indique si se dispone de los estados financieros auditados de la 3a parte

Indique si se han encontrado registros acerca de la adjudicación reciente de un gran contrato

En caso afirmativo, especifique riesgo

Información contenida en estados financieros

Indique el año en que se publicaron las últimas estados financieros de la 3a parte

Por favor, especifique los siguientes datos en relación con el balance de la 3a parte (datos en millones, incluir en la moneda con que se dispongan):

Activo corriente o circulante (Current assets)

Tesorería (Cash and bank balances)

Activo no corriente (Fixed assets)

Pasivo corriente o circulante (Current liabilities)

Deudas financieras a corto plazo (Creditors and borrowings)

Pasivo no corriente (Non-current liabilities)

Deudas financieras a largo plazo (Creditors and borrowings)

Patrimonio neto (Equity)

Datos convertidos a MLC

ALEATICA

Rev. 04 Feb 2022 Page 21 out of 28

Appendix 3. Supplier Certification

For México: Certificado de Homologación y Registro de Proveedores

CCertificado para
México

For the rest of countries:



Certificado países

CERTIFICADO DE HOMOLOGACIÓN							ALEATICA	
Nombre o Razón Social						R.F.C.		
Calle	No. Interior	No. Exterior	Delegación / Población / Municipio	Ciudad / Estado	País	CP	Teléfono(s)	
Dirección								
Persona (s) de contacto	Nombre	Cargo	E-mail				Extensión	
	1							
2								
Producto(s) o Servicio(s)	a.							
	b.							
	c.							
	d.							
ANÁLISIS DEL TERCERO								
	Análisis	Marcar	Criterio			Documentación adjunta	Resultado del Análisis	
Técnico	Verificación de las capacidades técnicas		Certificaciones (ISO 9001, 14001 o 45000) o,				Apto	
			Producto certificado o,					
			Reconocimientos o acreditaciones o,					
			Evaluación interna positiva (ya se ha trabajado con el tercero)					
	Experiencia		Carta de recomendación o,			No apto		
			Evaluación interna positiva (ya se ha trabajado con el tercero)					
	Responsabilidades laborales		Dictamen positivo, en:			(Documento Soporte: Certificado Técnico)		
			México: http://www.imss.gob.mx/tramites/cumplimiento-obligaciones España: http://jun.gob.es/junemf Perú: https://www.servir.gob.pe/sst/sst-modelos-y-formatos/ Otros países: la documentación acreditativa que deba ser emitida por la autoridad competente					
	Safety		ISO 45001 o,					
			Política y estructura organizacional de Seguridad y Salud de la empresa					
	Financiera		Resultado del Análisis Financiero realizado por la Dirección de Finanzas, a través de los Estados Financieros (Estados financieros de los 2 últimos años): * Análisis de Solvencia * Análisis de Liquidez * Análisis de Endeudamiento * Análisis de Rentabilidad			Apto		
						No apto		
						(Documento Soporte: Certificado Financiero)		
	Cumplimiento		Resultado de la Debita Diligencia de Compliance de Terceras Partes realizado por la Dirección Global de Compliance (Norma DCR-NORM-03 Debita Diligencia de Compliance de Terceras Partes)			Aprobado		
						Aprobado con condiciones		
						No aprobado		
						(Documento Soporte: Debita Diligencia de Compliance de Terceras Partes cumple con las aprobaciones correspondientes)		
Generales: Para registro en el Sistema del tercero seleccionado			Identificación oficial vigente del Representante Legal					
			Registro tributario de acuerdo con la legislación del País (RFC, RUT, NIF, RUC, etc)					
			Acta Constitutiva y/o Poder Notarial donde figure el nombre del Representante Legal					
			Comprobante de Domicilio (no anterior a 3 meses)					
			Estado de cuenta bancario donde se visualice el banco y número de cuenta donde se le realizará el pago de la contraprestación.					
			Responsabilidades Fiscales - Dictamen Positivo México: https://www.sat.gob.mx/consultas/20777/consulta-tu-opinion-de-cumplimiento-de-obligaciones-fiscales España: https://www.agencia tributaria.gob.es/AEAT_seda/Inicio/Procedimientos_y_Servicios/Certificaciones/Situacion_Tributaria/Situacion_Tributaria.shtml Perú: https://www.agencia tributaria.gob.es/AEAT_seda/Inicio/Procedimientos_y_Servicios/Certificaciones/Situacion_Tributaria/Situacion_Tributaria.shtml Otros países: la documentación acreditativa que deba ser emitida por la autoridad competente					
OBSERVACIONES SOBRE LA HOMOLOGACIÓN								
Firmas de validación de la Homologación:								
Nombre y firma del Encargado del Área Solicitante que realizó la homologación						Fecha de Validación		
Nombre y firma del Responsable del Control de Homologación que validó los documentos y Certifica la Homologación						Fecha de la Certificación de la Homologación		

Appendix 4. List of Directors of Requesting Area and Purchasing Controller

País	Unidad de Negocio	Función	Director/Gerente de la UUNN ó Director Global de la Función	Director de Área Solicitante	Controller de Compras
Chile	CANOPSA	CANOPSA	Juan Facuse	Finanzas: Claudia Mendoza Administración: Rolando Ossandon Jurídico: Rodrigo Jensen Operaciones: Elvis Granzotti Técnico: Alan Romero	Andrea Araya
Chile	Puente Industrial	Puente Industrial	Juan Facuse	Finanzas: Claudia Mendoza Administración: Rolando Ossandon Jurídico: Rodrigo Jensen Operaciones: Wladimir Morales Técnico: Ignacio Bernad	Alvaro Manriquez
Chile	ALEATICA CHILE	ALEATICA CHILE	Carlos Garcia-Faure	Finanzas y Estudios: Claudia Mendoza Administración: Rolando Ossandon Jurídico: Rodrigo Jensen Técnico: Ignacio Batlle	Andrea Araya
Colombia	ARM	ARM	Alejandro Niño	Administración: Gustavo Chaverra Construcción: Javier Seara Jurídico: Hernán Santana Operaciones: Julián Arbelaez Planifi y Finanzas: Natalia Zuluaga Sostenibilidad: Keren Muriel	Brian Steven Guaidia
España	Euroglosa M45	Euroglosa M45	Javier Rodriguez Igartua	Admon y Finanzas: Javier Roa Jurídico: Álvaro Serrano Operaciones: Alfonso Diaz Técnico: Pablo Romero.	Arancha Martín García
España	Puerto Alicante	Puerto Alicante	Jesús Aznar	Admon y Finanzas: Carlos Lázaro Operaciones: Gonzalo Baciero	Antoni Mira Giner
España	Puerto Tenerife	Puerto Tenerife	Jose Ignacio Uriarte Lecue	Admon y Finanzas: Miguel Lerma Operaciones/Técnico: Diego Sanchez	Ignacio Izarra
Italia	Brebemi	Brebemi	Matteo Milanesi	Admin & Finance: Alberto Algisi Legal: Antonio Comes Technical & Operations A35: Giuseppe Mastroviti Operations (Argentea): Stefano Pedrini	Ramona Medeghini
México	AT-AT	AT-AT	Salvador Lara	Admon y Finanzas: Alejo Frias Técnico/Construcción: Marco Montané Jurídico: Pablo Olhovich y Erik Alexander Bernáldez Ambiental: Daniel Tonatiah Aseguramiento de Calidad/Seguridad/Sostenibilidad: Daniel Bautista	Guadalupe Hams
México	AUNORTE-VB-Conservación MM	AUNORTE-VB-Conservación MM	Yunuen López	Admon y Finanzas VB: Cesar Algarín Admon y Finanzas AUN: Mario Casillas Técnica/Operación: Peter Pfenninger Jurídico: Daniel Chávez	AUN: Leticia García VB: Mario Delgadillo CMM: Antonio Rodríguez
México	CONMEX	CONMEX	Javier Cuesta	Admon y Finanzas: Orión Madrigal Jurídico: Gustavo López Operaciones: Javier Castro Técnico: Miguel García	Adriana López

México	GANa	GANa	GANa: Luis M. Canal CAPSA: Luis M. Canal	Operaciones: Hugo Rodríguez Conservación: Eduardo Ortiz Jurídico: Román Vasquez RRHH: María Hernandez Calidad/Safety: Griselda Rodríguez Atención Usuar/ Sotenib: Mayra Muñoz Auditoría y Estadística: David Lugo TI: Eddy Cabrera Econ Admvo: Victor Cabrera Técnico: Andrés Hernandez (Interinato)	Luis Arturo Gonzalez
México	Televisión	Televisión	Rodrigo Bernal	Admon/Finanzas/Jurídico: Victor Besil Mercadotecnia: Danae Ybarra Sistemas: Javier Fernández Comercial: Alejandro Guerra Marketing/Sostenibilidad: Danae Ybarra Operaciones: Armando Quiroz Atención Clientes: Heidy Gonzalez Safety/Calidad: César Cortés RRHH: Ana Lilia Casasola	Abraham Rendon
Perú	Aunorte	Aunorte	Rafael Moya	Contabilidad y Finanzas: Gemma de Lama Jurídico: Giuliana Huambacho Operaciones: Antonio Reyes Técnico: Aldo Cocha	Rodrigo Vasquez
Corporativo	Corporativo	Administración y Control	Gabriel Nuñez	Rafael Villafañez	Sara Muñoz
Corporativo	Corporativo	Aleatica Labs	Angel Montes O'Connor	España: Luis Chacón México: Joel Ruiz	Sara Muñoz
Corporativo	Corporativo	Auditoría Interna	Jesús Pinelo	España / Sudamérica: Daniel Herranz México: Luis Fernando Villa	Sara Muñoz
Corporativo	Corporativo	Compliance	Marco Padilla	Sofía Lázaro	Sara Muñoz
Corporativo	Corporativo	Comunicación	Bosco Marti	Itzel Meyenberg	Sara Muñoz
Corporativo	Corporativo	Desarrollo y Apoyo al Negocio	Roberto Hombrados	Roberto Hombrados	Sara Muñoz
Corporativo	Corporativo	Financiación	Gabriel Nuñez	Pablo Ybañez	Sara Muñoz
Corporativo	Corporativo	Jurídica	Pablo Olivera	España: Cristina Santos Alvaro Serrano Pablo Castresana Sara Saceda México: Amira del Olmo	Sara Muñoz
Corporativo	Corporativo	Técnica	Diego de Lapuerta	Fernando Sotos	Sara Muñoz
Corporativo	Corporativo	Operaciones	Diego de Lapuerta	Ignacio Pérez	Sara Muñoz
Corporativo	Corporativo	Planeación Financiera	Gabriel Nuñez	Jose Luis Muñoz	Sara Muñoz
Corporativo	Corporativo	Planificación y Control de Gestión	Rafael Moreno	Rafael Moreno	Sara Muñoz
Corporativo	Corporativo	Procesos y Mejora Continua	Rafael Moreno	David Gómez Roy	Sara Muñoz
Corporativo	Corporativo	Recursos Humanos	Lilia Hernandez	Talento y Formación: Alejandra Hernandez Relaciones Laborales: Javier Revilla Servicios Generales: Marko Mejía	Sara Muñoz

				Compensaciones: Jessica Esnarriaga Servicios Compartidos: Marcos Campos	
Corporativo	Corporativo	Riesgos	Marco Padilla	Ramón Kuri	Sara Muñoz
Corporativo	Corporativo	Safety	Diego de Lapuerta	Rubén Aranda	Sara Muñoz
Corporativo	Corporativo	Seguridad Física y Patrimonial	Antonio Lorenzo	Carlos Gonzalez	Sara Muñoz
Corporativo	Corporativo	Sostenibilidad y Atención al Usuario	Vanessa Silveyra	Vanessa Silveyra	Sara Muñoz
Corporativo	Corporativo	Tesorería y Seguros	Gabriel Nuñez	Antonio Cabello	Sara Muñoz
Corporativo	Corporativo	TI Corporativa	Roberto Hombrados	Yesika Baeza	Sara Muñoz
Corporativo	Corporativo	Tráfico	Roberto Hombrados	Alberto de Vicente	Sara Muñoz

Appendix 5. Exchange Equivalence

Monto en Euros	Colombia (\$COP)	Chile (\$CLP)	México (\$MXN)	Perú (S/PEN)	Dólares (US\$)
€ 5,000.00	\$ 25,000,000	\$ 4,500,000	\$ 100,000	S/ 20,000	\$ 5,500
€ 12,000.00	\$ 60,000,000	\$ 10,500,000	\$ 250,000	S/ 50,000	\$ 13,000
€ 25,000.00	\$ 125,000,000	\$ 22,000,000	\$ 500,000	S/ 100,000	\$ 27,000
€ 50,000.00	\$ 250,000,000	\$ 43,000,000	\$ 950,000	S/ 202,000	\$ 55,000
€ 60,000.00	\$ 300,000,000	\$ 52,000,000	\$ 1,100,000	S/ 250,000	\$ 66,000
€ 100,000.00	\$ 500,000,000	\$ 87,000,000	\$ 2,000,000	S/ 405,000	\$ 110,000
€ 500,000.00	\$ 2,500,000,000	\$ 440,000,000	\$ 10,000,000	S/ 2,000,000	\$ 550,000

Appendix 6. Security Declaration (Only to Ports)



Declaración de
SEGURIDAD para pro

DECLARACIÓN DE SEGURIDAD PARA PROVEEDORES Y SUBCONTRATAS

El abajo firmante, en la representación en la que actúa, declara conocer que:

- Es intención de nuestra empresa la exigencia de un máximo nivel de fiabilidad de sus proveedores y subcontratas. Es por ello que precisamos recabar de nuestros potenciales proveedores y subcontratas la información que consta la declaración del presente documento, y mantenerla actualizada para todos aquellos proveedores y subcontratas dados de alta.
- El ocultamiento o falseamiento de información relativa al cuestionario ocasionaría a nuestra empresa graves perjuicios y, en todo caso, inhabilitará a la Sociedad o Profesional declarante para adquirir o mantener la condición de proveedores y subcontratas, reservándonos el ejercicio de cuantas acciones correspondan a la defensa de nuestros derechos e intereses.

En aras de salvaguardar nuestra responsabilidad, requerimos que nuestros proveedores y subcontratas certifiquen a fecha de firma del presente documento una garantía sobre el cumplimiento de las buenas prácticas indicadas en los siguientes puntos:

- 1) Se disponen de mecanismos de vigilancia del servicio contratado tanto para garantizar la seguridad de la mercancía y de la información, cómo la confiabilidad de sus propios trabajadores.
- 2) Se sensibiliza y forma a los trabajadores sobre la importancia de salvaguardar la cadena de suministro (mercancía, información y seguridad).
- 3) Se dispone de mecanismos de contratación de los empleados que ocupan puestos sensibles dentro de la cadena de suministro internacional, asegurándose que el personal es de confianza, efectuándose controles periódicos y comprobando que se cumplen las exigencias de seguridad marcadas por las directrices de seguridad establecidas en las Orientaciones OEA 2016¹.
- 4) Se verifica que el personal o las empresas subcontratadas por el declarante /firmante siguen los procedimientos de actuación marcados en las Orientaciones OEA 2016¹, disponiendo de mecanismos de control que eviten posibles desviaciones en el comportamiento del personal o de los subcontratistas.
- 5) Se dispone, en caso de desviación, de medios para la detección y notificación de comportamientos negligentes/delictivos de los propios empleados o de las empresas subcontratadas para la prestación del servicio contratado.
- 6) Podrá ser puesta a disposición a requerimiento de las autoridades competentes o de los otros miembros de la cadena logística, la documentación aportada/generada durante la prestación del servicio como evidencia.
- 7) Los proveedores y subcontratas que actúan por mi cuenta o en mi nombre son informados de que ellos también tienen que asegurar la cadena de suministro de la forma descrita anteriormente.

Nombre de firmante autorizado: _____
(Firmante autorizado registrado en el registro mercantil)

Cargo: _____

CIF/NIF: _____

Firma y Sello de la Compañía: _____ Fecha: _ / _ / ____

¹https://www.agenciadetransportes.es/tema_4/les/AEAT/Aduanas/Contenidos/Privados/Procedimientos_aduaneros/OEA_aprendiz_economico_autorizado/defa_de_unidad_titulares_certificados_OEA/Orientaciones2016.pdf

Información Protección de Datos: La finalidad del tratamiento será mantener y gestionar las relaciones comerciales y/o profesionales en base a la relación establecida entre las partes. Sus datos podrán ser tratados por las empresas del Grupo Aleatica, se conservarán mientras se mantenga la relación comercial o profesional.

Appendix 7. Sustainability checklist for suppliers



Sustainability
checklist for suppliers

Sustainability checklist for suppliers				
COMPANY NAME:				
ADDRESS:		PHONE:		
CONTACT NAME:		EMAIL:		
DESCRIPTION OF THE ACTIVITIES TO BE PERFORMED.				
	YES	NO	N/A	Not applicable
Does the company have implemented or is in the process of implementing an Environmental or Sustainability Management System?				
Does the company have an ISO 14001:2015 certification, or any environmental or social certification, award, or assessment? Name: Validity period:				
Does the company have an environmental policy that includes a commitment to continuous improvement, environmental protection, pollution prevention and social and environmental legal compliance?				
Has the company identified their environmental aspects and impacts?				
Does the company have a system for identifying, monitoring and evaluating to ensure environmental and social legal compliance?				
Does the company have an Environmental Incident/Accident Emergency Response Plan?				
Does the company handle hazardous substances, materials, and wastes, and if so, does the company have the appropriate authorizations for their management?				
Does the company have a procedure or plan to manage non-hazardous and hazardous waste? Has the company been authorized according to the applicable regulations?				
Does the company have environmental liability insurance?				
Does the company have an environmental or sustainability coordinator?				
Does the company have the environmental and social licenses for the works under the contract agreement?				
Other relevant compliance considerations (description)				
Low Risk: more than 5 affirmative answers Medium Risk: between 4 and 3 affirmative answers High Risk: less than 3 affirmative answers				
Date:		Risk level:		

The evaluation should be carried out according to the scope of the activities to be developed by the supplier or contractor, based on the technical criteria of the sustainability or environmental managers of the Business Units, therefore this checklist is a guide of requirements, however, it is not a limitative list.