

Bogotá D.C, September 1st, 2024

## **COMPLIANCE CERTIFICATION SARLAFT**

**Credicorp Capital Colombia S.A.**, Stock Broker Company duly incorporated in Colombia, supervised by the Financial Superintendence of Colombia, has implemented a Money Laundering Risk Management System and Financing of Terrorism, hereinafter SARLAFT, which contemplates, among others, compliance of the rules of the Organic Statute of the Colombian Financial System "EOSF" (Decree 663 of 1993), the instructions given by the Financial Superintendence of Colombia contained in the Basic Legal Circular, part I, title IV, chapter IV and its updates, in addition to adopting the best international practices in this matter, mainly those of the GAFI and GAFILAT.

Credicorp Capital has established Policies and procedures on the application of SARLAFT control mechanisms and instruments, they are contemplated in the SARLAFT Manual and the Code of Conduct, approved by the Board of Directors, which are mandatory knowledge and compliance for all employees. The SARLAFT Manual has been updated based on the established standards and contains the functions of each of those responsible for monitoring, executing and controlling the processes; In addition, it discloses the procedures related to the Prevention of Money Laundering adopted by Credicorp Capital, as well as the control mechanisms in relation to the knowledge that must be had of clients and the activities they carry out.

The Code of Conduct develops the precepts to follow, both in relation to the actions of the entity and with respect to the behavior of its shareholders, directors and employees.

To carry out the functions established by legal regulations, the Board of Directors of Credicorp Capital has designated a Compliance Officer, who is duly sworn in before the Financial Superintendence; is a high-ranking person within Credicorp Capital, with decision-making capacity, who is supported by a human and technical work team that allows him to cover the different management areas and has the effective support of the directors of Credicorp Capital.

Within its policies is customer knowledge, which aims to identify customers appropriately. The information of clients, suppliers and counterparties is verified against lists, verified in an interview, and due diligence is carried out to keep the information updated and evaluate the risk according to the profile.

Credicorp Capital carries out due diligence of the risk management system, carrying out due identification, measurement, control and monitoring of SARLAFT and client operations. In relation to monitoring, it seeks to identify unusual operations, based on warning signs. For this, perform the detection and analysis of Unusual Operations, transactional monitoring and news monitoring, among others.

Finally, Credicorp Capital's employees are trained in the prevention of money laundering and terrorist financing. In addition, those employees who have direct contact with clients, as well as those who manage relationships with those clients defined as higher risk, receive specialized training in this matter.



**Sofia Antonia Mera Gamboa**  
**Compliance Officer and FATCA Responsible**