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<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	1 of 32



## CRIMINAL OFFENSE PREVENTION POLICY

**CODE: GA010093**

VALIDATION ROUTE		
FUNCTION	POST	ORGANIZATIONAL UNIT
PREPARED BY:	COMPLIANCE OFFICER	COMPLIANCE GRUPO AGUAS
CONSENSUS:	COMPLIANCE MANAGEMENT SYSTEM CONSULTANT	COMPLIANCE GRUPO AGUAS
APPROVED BY:	BOARD OF DIRECTORS	BOARD OF DIRECTORS

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<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	2 of 32

**INDEX**

**1. OBJECTIVES ..... 3**

**2. SCOPE..... 4**

**3. RELATED DOCUMENTS..... 4**

**4. DEVELOPMENT ..... 5**

**A. LEADERSHIP AND COMMITMENT FROM SENIOR MANAGEMENT ..... 5**

**B. MANAGEMENT AND TREATMENT OF CRIMINAL OFFENSE RISKS ..... 12**

**5. OPERATION OF THE CRIMINAL OFFENSE PREVENTION MODEL ..... 13**

**A. PROCEDURES FOR THE MANAGEMENT AND AUDIT OF THE FINANCIAL RESOURCES OF GRUPO AGUAS ..... 14**

**B. EMPLOYMENT CONTRACT CLAUSE..... 15**

**C. INTERNAL REGULATIONS OF ORDER, HYGIENE AND SAFETY ..... 15**

**D. SUPPLIER CLAUSE ..... 15**

**E. COMMUNICATION MECHANISMS OF THE CRIMINAL OFFENSE PREVENTION MODEL..... 15**

**F. REPORTING PROCEDURE ..... 16**

**G. SANCTIONS ..... 16**

**H. TRAININGS..... 17**

**6. MONITORING, ANALYSIS AND EVALUATION OF THE CRIMINAL OFFENSE PREVENTION MODEL ... 17**

**A. AUDIT IN THE CONTEXT OF THE ACQUISITION, MERGER, OR ABSORPTION OF COMPANIES..... 17**

**B. PERIODIC EVALUATION AND AUDIT OF THE CRIMINAL OFFENSE PREVENTION MODEL ..... 18**

**7. RECORD RETENTION POLICY..... 19**

**8. REPORTING OF BREACHES AND INQUIRIES..... 19**

**9. CHANGE CONTROL..... 19**

**ANNEX: OFFENSES SET FORTH IN LAW NO. 20,393 APPLICABLE TO GRUPO AGUAS IN ACCORDANCE WITH ITS SCOPE OF ACTIVITY ..... 20**

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	3 of 32

## 1. OBJECTIVES

Integrity is one of the fundamental principles that guide the conduct of the employees of Grupo Aguas. This is established in the Code of Ethics, which rejects corruption in any of its forms.

In this regard, and within the implementation of various policies and procedures comprising the Compliance Management System of Grupo Aguas, this Criminal Offense Prevention Policy has been adopted in accordance with the provisions of Law No. 20,393 on the criminal liability of legal entities (“Law 20,393”). This Policy establishes the guidelines and directives to implement a form of corporate organization that prevents the commission of the offenses set forth in the law by certain employees of the company or by certain third parties who, according to the law, may transfer criminal liability to the company. It also serves as a guide for the actions of employees and third parties, orienting them as to what the company expects and requires of their conduct.

This Criminal Offense Prevention Policy reflects our organizational commitment to avoid the commission of the offenses established in Law 20,393, whether or not they benefit the Company. For the same reason, its purpose is to ensure that if any of our employees or third parties were to commit one of the offenses referred to in the law, such conduct would not only contradict our culture of corporate integrity but would also occur despite the efforts undertaken by the company to prevent it.

To achieve these objectives and to comply with self-regulation duties, an organization and set of process regulations have been established to neutralize, as far as possible, the risk of committing the offenses indicated, thereby contributing to their prevention and timely detection.

The specific objective of this Policy is not only to deter the commission of offenses but, more importantly, to effectively implement a Criminal Offense Prevention Model suitable for exempting the company from criminal liability to the extent required by its corporate purpose, business, size, complexity, resources, and activities, as established in Article 4 of Law No. 20,393, and thereby prevent the perpetration of a criminal act from being favored or facilitated by the absence of such a model.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	4 of 32

Accordingly, for the design, implementation, and effective control of this model, the risks inherent in our business and operations have been identified, assessed, and controlled. This model includes:

- a. Identification of activities or processes that involve a risk of criminal conduct.
- b. Establishment of protocols and procedures to prevent and detect criminal conduct, which consider:
  - Implementation of secure reporting channels.
  - Implementation of an internal sanctions system in case of non-compliance.
  - Communication of protocols, procedures, and internal sanctions to employees.
  - Incorporation of internal regulations into employment and service provision contracts.
- c. Assignment of one or more individuals responsible for the application of such protocols, who must have adequate independence, be vested with effective powers of direction and supervision, have direct access to management, and be provided with the necessary resources and both tangible and intangible means.
- d. Provision of periodic evaluations by independent third parties and mechanisms for improvement or revision.

## 2. SCOPE

The Criminal Offense Prevention Policy applies to all the companies comprising Grupo Aguas (Aguas Aguas S.A., Aguas Cordillera S.A., Aguas Manquehue S.A., Hidrogística S.A., Análisis Ambientales S.A., Ecoriles S.A., and Biogenera S.A.), and must be observed by all individuals holding a role, function, or position in Grupo Aguas, including directors, senior executives, and employees (hereinafter “employees”), as well as all those who provide services, either directly or through other companies, to the company in managing its affairs before third parties, with or without its representation, or for related entities lacking operational autonomy.

## 3. RELATED DOCUMENTS

The documents that complement the Compliance Management System and serve as a reference for this Criminal Offense Prevention Policy include, among others:

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	5 of 32

- a) Code of Ethics
- b) Compliance Policy
- c) Anti-Corruption Policy
- d) Anti-Corruption Management System Manual
- e) Corporate Risk Management Methodology
- f) Annex: Application of the Corporate Risk Management Methodology to Compliance Risk at Grupo Aguas
- g) Procedure for Interaction with Public Officials and Lobbying
- h) Procedure for Gifts, Invitations, and Business Trips
- i) Procedure for Conflict of Interest Management
- j) Procedure for Complaints, Investigation, and Sanctions
- k) Donations and Sponsorship Policy
- l) Donations Committee Procedure
- m) Internal Regulations on Order, Hygiene, and Safety

#### 4. DEVELOPMENT

##### a. Leadership and Commitment from Senior Management

Grupo Aguas develops, maintains, and promotes a culture of integrity and regulatory compliance at all levels of the organization. For this reason, the management of Grupo Aguas declares its adherence to this Policy and undertakes to provide guidelines and a tone of compliance that are timely, visible, consistent, and sustained, so that such conduct serves as an example to all levels of the company in effectively preventing the commission of offenses, especially those established in Law No. 20,393.

The company shall ensure the effective implementation of a Criminal Offense Prevention Model appropriate to the company, in line with its corporate purpose, business, size, complexity, resources, and activities, as well as ensure its periodic evaluation and continuous improvement.

To this end, the company will designate personnel responsible for carrying out the compliance function in criminal offense prevention, entrusted with directing, supervising, communicating, and operating the Criminal Offense Prevention Model.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	6 of 32

Roles and responsibilities within the organization:

A. Board of Directors

- 1) Promote a culture of integrity and regulatory compliance within the companies of Grupo Aguas.
- 2) Approve this Criminal Offense Prevention Policy.
- 3) Ensure the effective implementation of a Criminal Offense Prevention Model appropriate to the company, in line with its corporate purpose, business, size, complexity, resources and activities, as well as ensure its periodic evaluation and continuous improvement;
- 4) Allocate to the Criminal Offense Prevention Model the appropriate and sufficient financial, material and human resources for its effective operation.
- 5) Appoint the Compliance Officer, who must be provided with the necessary resources and both tangible and intangible means to adequately perform their duties, considering the size and economic capacity of the company, as well as effective powers of direction and supervision, autonomy, independence and direct access to this governing body.
- 6) Ensure that senior management is in a position to manage the risks of the commission of offenses arising from the business, in accordance with the expectations of the Board. Likewise, ensure that senior management has established appropriate incentives to integrate compliance with the Criminal Offense Prevention Model into management goals and compensation structure, and that corrective actions, especially disciplinary ones, are taken in cases of non-compliance.

B. General Management

- 1) Promote a culture of integrity and compliance within the organization.
- 2) Ensure that the Criminal Offense Prevention Model is properly implemented to achieve its prevention objectives, addressing the company's criminal liability risks.
- 3) Ensure that the requirements derived from the Criminal Offense Prevention Model are incorporated into the company's operational processes and procedures.
- 4) Ensure the availability of adequate and sufficient resources for the effective execution of the Criminal Offense Prevention Model.
- 5) Comply with and enforce, both internally and externally, the Criminal Offense Prevention Model.
- 6) Lead and support personnel to achieve compliance with the requirements and effectiveness of the Criminal Offense Prevention Model in accordance with their role in the organization.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	7 of 32

- 7) Promote continuous improvement and periodic evaluation of the Criminal Offense Prevention Model and support its management to demonstrate leadership in the prevention of offenses and in the detection of criminal offense risks within their areas of responsibility.
- 8) Encourage responsible use of the Whistleblowing Channel among employees under their supervision.
- 9) Ensure that no member of the company is subject to retaliation for reporting in good faith any breaches of the Criminal Offense Prevention Model or for refusing to participate in unlawful conduct.
- 10) Approve the appointment of those responsible for the application of procedures and protocols established by the company to prevent and detect criminal conduct, who must be provided with the necessary resources and both tangible and intangible means to adequately perform their duties, considering the size and economic capacity of the company, as well as independence, effective powers of direction and supervision, and direct access to management.

**C. Director of Legal, Regulatory, and Corporate Governance Affairs**

- 1) Review the proposed amendments to the Criminal Offense Prevention Policy.
- 2) Advise on the inclusion of clauses ensuring compliance with Law No. 20,393 in the various contracts entered into by the Company with related parties, third parties, and employees.
- 3) Advise on the inclusion of clauses ensuring compliance with Law No. 20,393 in the Company's Internal Regulations on Order, Hygiene and Safety, as well as in its Code of Ethics.
- 4) Report to the Criminal Offense Prevention Officer on situations involving fines, sanctions, claims, and/or lawsuits that may be brought against the Company and that are related to the offenses set forth in Law No. 20,393.
- 5) Advise the Criminal Offense Prevention Officer in connection with investigations, review of complaints, decision-making and potential actions.
- 6) Ensure the application of the procedures and protocols established by the company to prevent and detect criminal conduct within their area of responsibility.

**D. Compliance and Corporate Governance Management of Grupo Aguas**

<b>Print date:</b>	June 18, 2025	<b>Integrated Management System Grupo Aguas</b>	
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<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	8 of 32

The Compliance and Corporate Governance Manager is the officer specifically appointed by the Boards of Directors of Grupo Aguas for the implementation and oversight of this Policy and the Group’s Criminal Offense Prevention Model. This management role also serves as the Criminal Offense Prevention Officer, a position held indefinitely. In this Policy, the position may be referred to interchangeably as “Compliance Officer,” “Criminal Offense Prevention Officer,” or simply “Prevention Officer.”

For the purposes of the Criminal Offense Prevention Model, the Compliance Officer shall report to the Board whenever required, at least quarterly, or whenever the Board requests. The Compliance Officer shall have autonomy inherent to the rank of Manager, including budgetary autonomy. To ensure such autonomy:

- 1) They shall be kept free from any conflict of interest that may hinder the performance of their duties.
- 2) They shall have direct access to management and the Board of Grupo Aguas to inform them in a timely and appropriate manner of the measures and plans implemented.
- 3) They shall be provided with the material resources necessary to adequately perform their duties, considering the size and financial capacity of the company, reflected in an annual budget that enables them to fulfill their functions.

Additionally, among their tasks, the Compliance Officer shall maintain a confidential record containing:

- 1) All complaints received, whether through informal channels or via the Whistleblowing Channel.
- 2) All investigations carried out with the corresponding background information and results.
- 3) A record of exchanges of information with the Public Prosecutor’s Office.

In summary, the duties of the Criminal Offense Prevention Officer include:

- 1) Continuously promoting and supervising the implementation and effectiveness of the Criminal Offense Prevention Model throughout the organization, as well as its periodic update.
- 2) Coordinating and supporting the various activities through which the Criminal Offense Prevention Model operates.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	9 of 32

- 3) Establishing, together with management, methods for the effective application of the Criminal Offense Prevention Model to detect and correct deficiencies.
- 4) Communicating to the employees of Grupo Aguas that a Criminal Offense Prevention Model has been implemented. To this end, the Compliance Officer shall upload information related to the system to the company's intranet, ensure that all personnel sign the document confirming receipt of the Internal Regulations, provide a training program on Law No. 20,393, and, in general, ensure communication of the Criminal Offense Prevention Model.
- 5) Implementing the training system for the employees of Grupo Aguas.
- 6) Reporting directly to the Board and the Integrity and Compliance Committee on the measures and plans implemented in the fulfillment of their duties.
- 7) Leading the process of managing the risks of commission of the offenses established in Law No. 20,393.
- 8) Promoting the design of adequate procedures for the prevention and detection of the offenses established in Law No. 20,393.
- 9) Overseeing, through those responsible for controls, compliance with the internal rules and procedures that comprise the company's Criminal Offense Prevention Model.
- 10) Promoting the inclusion of criminal offense prevention responsibilities in job descriptions.
- 11) Receiving and investigating reports submitted by employees, suppliers, and external third parties of Grupo Aguas.
- 12) Even without a formal report, the Criminal Offense Prevention Officer must initiate investigations ex officio or at the request of company management, upon obtaining knowledge of a situation that warrants it, in accordance with the Procedure for Complaints, Investigations, and Sanctions.
- 13) Reporting, following instruction from the Board, the Chief Executive Officer, or the Director of Legal, Regulatory, and Corporate Governance Affairs, to the Public Prosecutor's Office, and notifying the Financial Analysis Unit when applicable, any facts that, after investigation, are determined to constitute an offense or raise a well-founded suspicion of a violation of Law No. 20,393.
- 14) Providing for periodic evaluations by independent third parties and specific audits to verify compliance with the Criminal Offense Prevention Model and establishing mechanisms for improvement or revision based on such evaluations.
- 15) Keeping records of the design, implementation, review, and audit of the Criminal Offense Prevention Model.
- 16) Performing any other tasks conducive to the company's strict adherence to the requirements of the Criminal Offense Prevention Model.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	10 of 32

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	11 of 32

### E. Officers Responsible for Procedures, Protocols, and Controls

These are the employees appointed by the Chief Executive Officer to ensure the application of the procedures and protocols established by the company to prevent and detect criminal conduct, as part of the Criminal Offense Prevention Model.

Such control officers shall be independent and vested with effective powers of direction and supervision over the protocols and procedures whose application, management, and oversight have been entrusted to them.

They shall be provided with the resources and both tangible and intangible means necessary to adequately perform their duties, considering the size and financial capacity of the legal entity.

The control officers shall have direct access to management to timely report on the measures and plans implemented in the fulfillment of their duties, to render account of their management, and to request the adoption of measures necessary for their duties that may extend beyond their competence.

Their main functions are:

- 1) Permanently managing compliance with the regulations applicable to the processes under their control, particularly those identified in the criminal offense risk matrix.
- 2) Identifying and monitoring the risks related to those processes, with special emphasis on risks that may entail criminal consequences and that are identified in the criminal offense risk matrix.
- 3) Regularly assessing the effectiveness of the controls established for the criminal offense risks to which their processes are exposed.
- 4) Overseeing the implementation of action plans or improvements to the control environment of criminal offense risks that have been identified in their processes.
- 5) Reporting to the Compliance Officer any breaches of the procedures and protocols established to prevent and detect criminal conduct.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	12 of 32

## F. Integrity and Compliance Committee

- 1) Encourage the promotion of a culture of compliance within the organization.
- 2) Review the status of the company's reports, investigations, and sanctions.
- 3) Ensure that the organization actively cooperates with the Compliance Officer in training activities and in all matters where the Compliance area requires interaction with other areas of the Company.
- 4) Guarantee respect for the autonomy and independence of the Compliance Officer in order to carry out their duties effectively.
- 5) Lead by example and encourage inquiries and corrections to the Compliance Management System.
- 6) Recommend to the Compliance Officer preventive or corrective compliance risk measures.

### **b. Management and Treatment of Criminal Offense Risks**

The risk to which the companies of Grupo Aguas are exposed necessarily arises from the activities carried out by the natural persons identified in the law <sup>1</sup>.

Grupo Aguas has a Corporate Risk Management Methodology that defines the processes for evaluating, treating, monitoring, and reviewing risks at the corporate level, as well as the management of the controls that mitigate them. For risks associated with the Compliance Management System, this methodology includes an Annex entitled "Application of the Corporate Risk Management Methodology to Compliance Risk," which defines the process applied to the risks of commission of the offenses established in Law No. 20,393.

The outcome of this management is reflected in a Compliance Risk Matrix, which must be reviewed and updated at least annually by the Compliance Officer, in order to incorporate changes experienced by the company and its environment, and to periodically assess the effectiveness and validity of the controls.

Based on the identified risks, Grupo Aguas adopts the following strategies to incorporate preventive and detective measures into its daily activities:

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<sup>1</sup> The offense must be committed by one of the following persons indicated in Article 3 of Law No. 20,393:

- a. A natural person holding a role, function, or position within the legal entity.
- b. A natural person providing services on its behalf in dealings with third parties, with or without representation.
- c. A natural person holding a role, function, or position in a different legal entity, provided that such entity renders services on its behalf in dealings with third parties, with or without representation, or lacks autonomy with respect to it when ownership or participation relationships exist between them.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	13 of 32

- 1) Establishment of specific protocols, rules, and procedures that enable individuals involved in activities or processes carrying a risk of commission of the offenses set forth in Law No. 20,393 to plan and perform their tasks in a manner that prevents and detects their commission.
- 2) Drafting, reviewing, and continuously improving internal policies and procedures. These documents serve as a guide for employees in putting into practice the standards of conduct defined by Grupo Aguas. By setting clear standards and rules, our policies help employees fulfill their professional responsibilities in accordance with applicable legislation and internal regulations, thereby preventing potential breaches and violations of the law.
- 3) Whistleblowing Channel and investigation system.
- 4) Application of sanctions in cases of non-compliance with the Criminal Offense Prevention Model.
- 5) Ongoing training and dissemination.
- 6) Periodic review of the risk matrix, policies, and procedures.

## 5. Operation of the Criminal Offense Prevention Model

The prevention of the aforementioned offenses is carried out through actions to be followed with respect to all offenses within Grupo Aguas by all its employees, including:

- a. Identification of activities or processes that involve a risk of criminal conduct.
- b. Establishment of protocols and procedures to prevent and detect criminal conduct, which include:
  - Secure reporting channels.
  - Internal sanctions system in cases of non-compliance.
  - Communication of protocols, procedures, and internal sanctions to employees.
  - Incorporation of internal regulations into employment contracts.
  - Inclusion in contracts with suppliers and contractors, except where adhesion contracts not subject to modification by Grupo Aguas are involved, of a clause regarding Law No. 20,393. For suppliers with whom the company does not have contracts, such clause shall be included in purchase orders or sent by email requesting their acceptance.
  - Evaluation of critical services.
  - Evaluation and analysis of risks arising from operations with related parties.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	14 of 32

- c. Assignment of one or more individuals responsible for the application of such protocols, who must have adequate independence; be vested with effective powers of direction and supervision; have direct access to management; and be provided with both tangible and intangible resources.
- d. Provision for periodic evaluations by independent third parties and mechanisms for improvement or revision.

**a. Procedures for the Management and Audit of the Financial Resources of Grupo Aguas**

Grupo Aguas must have management and audit procedures that ensure the proper use and safeguarding of its financial resources. Their identification is therefore complementary and consistent with the purpose of preventing offenses, considering that, whether as a direct material object or as a means facilitating their commission, the company’s financial resources play a central role in the dynamics of the offenses established in Law No. 20,393.

The company has implemented various controls in the internal processes that manage and record the financial transactions carried out within the company.

Among other measures, Grupo Aguas uses the SAP system, in which all transactions are recorded. In addition, a segregation of duties has been established, meaning that the person who requests and the person who approves a purchase or payment request must always be different individuals with the authority required by the system according to the amounts involved. All authorizations require sufficient supporting documentation to substantiate the request. Periodic audits, both internal and external, are carried out to detect any irregularities<sup>2</sup>.

With regard to the audit of financial resources, Grupo Aguas has two types of audits: an internal audit, conducted by a special unit of the company in accordance with an annual plan that determines the areas and processes to be reviewed; and an external audit, as required by the Corporations Law and the regulations issued by the Financial Market Commission, to be performed by external auditors approved at the Annual Shareholders’ Meeting, which likewise approves the company’s financial statements.

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<sup>2</sup> These and other controls are described in the Policies and Procedures governing each process, such as the Investment Policy, the Procurement Policy, the Tendering Procedure, the Release Strategy Procedure, the Accounts Payable Reception Policy, the Petty Cash Procedure, the Immediate Expense and Reimbursement Funds Procedure, the Payment Orders Procedure, among others.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	15 of 32

**b. Employment Contract Clause**

The employment contract of every employee of Grupo Aguas, whether temporary or indefinite, contains a clause related to Law No. 20,393.

**c. Internal Regulations of Order, Hygiene and Safety**

Each of the companies comprising Grupo Aguas has its own Internal Regulations on Order, Hygiene, and Safety, which include a clause regarding Law No. 20,393 and the Criminal Offense Prevention Model.

**d. Supplier Clause**

The supplier clause must be signed by all those who provide services or supply goods to Grupo Aguas, especially those who manage the company’s affairs with third parties.

The supplier clause must contain at least the following provisions:

- 1) Obligation to act in accordance with the law and the Company’s Code of Ethics.
- 2) Declaration of acknowledgment that Grupo Aguas has a Criminal Offense Prevention Model.
- 3) Prohibition against committing the offenses set forth in Law No. 20,393.
- 4) In the case of service providers managing the company’s affairs with third parties, with or without representation, a Declaration of acknowledgment that they have their own Criminal Offense Prevention Model. In all other cases, at least a Declaration of acknowledgment that measures have been adopted to prevent offenses.
- 5) Obligation not to compromise the company’s criminal liability.
- 6) Obligation to report any facts that may compromise the company’s criminal liability.
- 7) Obligation to provide information in the context of internal investigations carried out under the model.
- 8) Sanctions.

**e. Communication Mechanisms of the Criminal Offense Prevention Model**

For the effective implementation of the Criminal Offense Prevention Model, it is essential that all employees know the scope of Law No. 20,393 and the content and scope of the existing prevention system, its controls, and its procedures. It is also essential that all employees formally commit to adherence to this document.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	16 of 32

In order to ensure that all employees of Grupo Aguas are duly informed of this, in addition to the provisions incorporated into their employment contracts and Internal Regulations, the following have been established:

- 1) Intranet. Information related to the Criminal Offense Prevention Model shall be available to all employees on the company's intranet.
- 2) Commitment. All personnel will sign the acknowledgment of receipt of Internal Regulations and a contract clause or annex making reference to the Criminal Offense Prevention Model.
- 3) Training. A training program shall be provided on the Law on the Criminal Liability of Legal Entities and on Grupo Aguas' Criminal Offense Prevention Model, delivered through the most expeditious and accessible means.

#### **f. Reporting Procedure**

The company has a Reporting, Investigation, and Sanctions Procedure, which is based on four fundamental pillars or principles: expediency, confidentiality, responsibility, and effectiveness. For Grupo Aguas, it is essential to have a reporting mechanism that enables its employees, suppliers, and third parties to fulfill their reporting obligations in the event they have knowledge of or suspect the commission of any act constituting an offense, even if such offenses are not included in the Criminal Offense Prevention Model designed in accordance with Law No. 20,393.

The situations that must be reported, the manner in which reports must be made, and the procedure to be followed for conducting investigations arising from such reports are regulated in the Reporting, Investigation, and Sanctions Procedure of Grupo Aguas.

#### **g. Sanctions**

The Criminal Offense Prevention Model provides for sanctions applicable to employees, seeking to ensure its effective enforcement and the strengthening of a corporate culture distanced from the commission of offenses.

The sanctions applicable to employees are established in the Internal Regulations on Order, Hygiene, and Safety and have been accepted and acknowledged by them through the signing of the corresponding documents. A sanctionable infringement shall be deemed to exist in cases where an employee or supplier has failed to comply with their obligations of oversight, reporting, training, or any other obligation established in the Criminal Offense Prevention Model.

<b>Print date:</b>	June 18, 2025	<b>Integrated Management System</b> Grupo Aguas	
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<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	17 of 32

Sanctions shall be imposed by the management of Grupo Aguas upon the proposal of the Criminal Offense Prevention Officer and only after the conclusion of an investigation in which it is determined that the employee or supplier acted at least negligently in fulfilling their duties.

These sanctions are without prejudice to any civil or criminal actions that may apply.

**h. Trainings**

Initially, training sessions shall be provided to personnel with higher exposure to the risk of committing offenses, with the Compliance Officer maintaining records and supporting documentation for each session. Subsequently, training shall be planned to provide sufficient knowledge to all employees of Grupo Aguas on these matters.

Similarly, employees joining Grupo Aguas must take part in an induction program that includes basic knowledge about the Criminal Offense Prevention Model and related matters.

Training may be conducted either in person or virtually. Regardless of the format, each training session shall include a knowledge test that must be passed. Every employee must undergo training in these matters at least every two years, or whenever changes to the Criminal Offense Prevention Model so require.

For this purpose, the Compliance Officer, together with the People Management Department, shall prepare an annual Training and Communications Plan, which shall be updated at least once a year.

**6. Monitoring, Analysis and Evaluation of the Criminal Offense Prevention Model**

**a. Audit in the Context of the Acquisition, Merger, or Absorption of Companies**

By virtue of the transfer of criminal liability of legal entities established in Articles 18 and 18 bis of Law No. 20,393, in cases of transformation, merger, absorption, division, or voluntary dissolution, to the resulting legal entities, Grupo Aguas shall apply an audit model that addresses the liability risks that may arise from its participation in such processes.

For these purposes, the Criminal Offense Prevention Officer must certify whether the background information provided by the legal entity undergoing transformation, merger, absorption, division, or dissolution complies with the prevention requirements established by Law No. 20,393, as reflected in this Policy.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	18 of 32

It is required that the legal entity in question has a Criminal Offense Prevention Model effectively implemented and appropriate in light of its corporate purpose, business, size, complexity, resources, and activities.

In particular, the Criminal Offense Prevention Officer must review the corporate risk management presented by the legal entity and the mitigation measures that have been implemented. Likewise, they must verify the dissemination of its prevention mechanisms, whether through employment contracts, internal regulations, or training programs that have been carried out.

**b. Periodic Evaluation and Audit of the Criminal Offense Prevention Model**

This Criminal Offense Prevention Model has been structured on the basis of a dynamic risk identification process. This requires that the effectiveness of its provisions and measures be systematically reviewed, establishing a learning process that allows the model to remain aligned with prevention needs.

For this reason, a permanent audit procedure of the model has been established, under the responsibility of the Criminal Offense Prevention Officer, comprising two systems: a systematic or ongoing audit, and a random or episodic audit. This will allow the detection and correction of deficiencies both in its design and in its implementation, thereby helping to update it in accordance with potential changes in the circumstances or context of Grupo Aguas.

The audits must include an effective review of the mechanisms implemented, their mode of operation, and their adaptation to the needs of each of the corporate divisions. For these purposes, the Criminal Offense Prevention Officer shall determine the procedure by which such audits will be conducted.

In addition, periodic evaluations of the functioning of the Criminal Offense Prevention Model by independent third parties are provided for, to be carried out at least once every two years.

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	19 of 32

## 7. Record Retention Policy

All records of the design, implementation, review, and audit of the Criminal Offense Prevention Model shall be retained by the Criminal Offense Prevention Officer for a minimum period of 10 years. This documentation, which includes the analyses conducted at the time of building the model, implementing it, and designing and operating its audit models, serves as evidence of the systematic and good faith efforts of the prevention and audit system.

If circumstances require the destruction of part of such documentation, this must be carried out in a systematic manner and under criteria previously defined by the Criminal Offense Prevention Officer and approved by the Board. The disappearance or destruction of all or part of such records outside of these pre-established criteria shall be deemed a serious breach of duties.

This information shall be made available to the authorities of the Public Prosecutor's Office when required, and the direct counterpart and autonomous administrator of such information shall be the Criminal Offense Prevention Officer.

## 8. Reporting of Breaches and Inquiries

Any employee who witnesses a breach of the provisions established in this Policy or in the Criminal Offense Prevention Model must report it through Grupo Aguas' Whistleblowing Channel, available on the company's intranet and website, or by contacting the Compliance Officer directly.

To address and resolve questions regarding the application of this Policy and the Criminal Offense Prevention Model, an internal communication channel has been made available to all employees via the intranet and by email ([compliance@aguasandinas.cl](mailto:compliance@aguasandinas.cl)).

## 9. Change Control

<b>CHANGE CONTROL</b>		
<b>VERSION NO.</b>	<b>DATE</b>	<b>OBSERVATIONS</b>
00	August 2024	Document creation
01	June 2025	The document has been reviewed with no changes

<b>Print date:</b>	June 18, 2025	<b>Integrated Management System Grupo Aguas</b>	
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<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	20 of 32

**Annex: Offenses set forth in Law No. 20,393 applicable to Grupo Aguas in accordance with its scope of activity**

No.	Category of Offenses	Subcategory	Offense	
1	<b>General Fraud Offenses</b>	<b>Fraud (and forms of deceit)</b>	Art. 467 PC: Fraud	
2			Art. 468 PC: Special fraud	
3			Art. 473 PC: Residual fraud	
4			Art. 470 No. 4 PC: Fraud by misleading subscription of a document	
5			Art. 470 No. 5 PC: Fraud by removal, concealment, destruction or invalidation of a document	
6			Art. 470 No. 3 PC: Fraud by abusing a blank signature	
7			Art. 470 No. 10 PC: Insurance fraud	
8			Art. 471 No.2 PC: Simulated contract	
9			<b>Fraudulent obtaining of credit</b>	Art. 160 LGB: Fraudulent obtaining of credits
10			<b>Computer Fraud</b>	Art. 468 PC: Fraud through computer systems
11				Art. 7: Computer Fraud

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	21 of 32

12	<b>Offenses related to the trafficking and possession of illicit assets</b>	<b>Payment card fraud</b>	Art. 468 PC: Unauthorized use of another's payment card or data
13			Article 7(f), Law 20,009: Malicious use of a blocked card
14			Article 7(h), Law 20,009: Simulation of credit card fraud
15		<b>Fraud involving credit instruments</b>	Art. 22, DFL 707: Fraudulent issuance of a check
16		<b>Offenses related to the management of another's assets</b>	Art. 470 No. 1, PC: Embezzlement
17			Art. 470 No. 11, PC: Improper administration
18		<b>Usury</b>	Art. 472, PC: Usury
19		<b>Receiving stolen property</b>	Art. 456 bis A, PC: Receiving stolen property
20		<b>Receiving computer data</b>	Art. 6, Law 21,459: Receiving computer data
21		<b>Money laundering</b>	Article 27, Law No. 19,913: Money laundering
22		<b>Smuggling of prohibited goods</b>	Art. 168, DL 30, Sec. 2: Direct smuggling
23			Art. 182, DL 30: Acquisition, receipt or concealment of goods obtained through fraud or smuggling
24			<b>Customs offenses and indirect smuggling</b>
25		Art. 168, DL 30, Sec. 3 and 5: Indirect smuggling	

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	22 of 32

26	<b>Labor offenses</b>	<b>Labor exploitation</b>	Art. 472 bis, PC: Labor exploitation offense	
27		<b>Human trafficking</b>	Art. 411 quater, PC: Human trafficking	
28		<b>Offenses related to Social Security contributions</b>		Art. 13, Law No. 17,322: Embezzlement of Social Security contributions
29				Art. 13 bis, Law No. 17,322: Omission and/or underreporting of Social Security contributions
30				Art. 19, Sec. 23, DL 3,500: Embezzlement, omission, and/or underreporting of Social Security contributions
31				Art. 250, PC: Bribery of a public official
32	<b>Corruption Offenses</b>	<b>Bribery of a public official</b>	Art. 250 bis, PC: Bribery of a public official in a criminal case	
33			Art. 251 bis, PC: Bribery of a foreign public official	
34		<b>Illegal financing of political activities</b>	Art. 30, DFL 3: Illegal financing of political parties or campaigns	
35		<b>Corruption among private parties</b>		Art. 287 bis, PC: Request or acceptance of benefits by a private employee
36				Art. 287 ter, PC: Giving, offering, or agreeing to give a benefit to a private employee

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	23 of 32

37	<b>Damage offenses</b>	<b>Damages</b>	Art. 485 Nos. 2, 3, 5, 6, and 7, PC: Aggravated damages
38			Art. 486, PC: Minor aggravated damages
39			Art. 438, PC: Extortion
40	<b>Offenses against life and health of individuals</b>	<b>Offenses against individual health</b>	Art. 296 Nos. 1 and 2, PC: Threat of an offense
41			Art. 297, PC: Threat of harm not constituting an offense
42			Arts. 490, 491, and 492, PC: Negligent offenses of injury and homicide
43			Art. 291, PC: Unlawful dissemination of chemicals, bacteria, viruses, or radioactive materials
44			Art. 315 Sec. 1, PC: Poisoning or infecting substances intended for public consumption / sale of such substances
45			Art. 315 Sec. 2, PC: Adulteration of substances intended for public consumption / sale of such substances
46		<b>Offenses against public health</b>	Art. 316, PC: Dissemination of pathogenic germs
47			Art. 317, PC (in relation to Arts. 313, 314, 315, and 316, PC):

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	24 of 32

			Negligent offenses against public health
48	<b>Offenses against free competition and fair competition</b>	<b>Fraudulent alteration of prices</b>	Art. 285, PC: Fraudulent price alteration
49		<b>Collusion</b>	Art. 62, DL 211: Collusion
50			Art. 233, PC: Misappropriation by embezzlement or peculation
51			Art. 234, PC: Negligent misappropriation
52		<b>Misappropriation of public funds</b>	Art. 235, PC: Misappropriation by diversion or defalcation
53	<b>Participation in public official offenses</b>		Art. 236, PC: Misappropriation by misapplication of public property or diversion
54			Art. 239, PC: Fraud against the treasury
55		<b>Frauds and illegal exactions</b>	Art. 241, PC: Illegal exactions
56			Art. 241 bis, PC: Illicit enrichment
57			Art. 284, PC: Access to trade secret by intrusion
58		<b>Trade secret</b>	Art. 284 bis, PC: Disclosure of trade secret
59	<b>Indiscretion offenses</b>		Art. 284 ter, PC: Economic exploitation of a trade secret
60		<b>Confidential information – CMF</b>	Art. 43, DL 3,538: Disclosure of information obtained by an interested party in a sanctioning procedure

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	25 of 32

61	<b>Forgeries and falsehoods</b>	<b>Forgery of documents and their use</b>	Art. 194, PC: Forgery of a public document by a private individual
62			Art. 196, PC: Malicious use of a forged public document
63			Art. 197, PC: Forgery of private or commercial private instruments
64			Art. 198, PC: Malicious use of private instruments
65			<b>Computer forgery</b>
66	<b>Tax offenses</b>	<b>Tax evasion and fraudulent schemes</b>	Art. 97 No. 4, Tax Code: Evasion through maliciously false or incomplete returns
67			Art. 97 No. 4, Tax Code: Malicious omission of transactions in accounting books
68			Art. 97 No. 4, Tax Code: Fraudulent alteration of balance sheets or inventories and their presentation
69			Art. 97 No. 4, Tax Code: Use of tax instruments already used in previous transactions
70			Art. 97 No. 4, Tax Code: Concealing or distorting the true amount of transactions to evade tax
71			Art. 97 No. 4, Tax Code: Improper increase of VAT tax credit

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	26 of 32

72		Art. 97 No. 4, Tax Code: Fraudulent tax refund
73		Art. 97 No. 4, Tax Code: Use of false tax instruments
74		Art. 97 No. 4, Tax Code: Facilitation of false tax instruments
75		Art. 8 ter, Sec. 4, Tax Code: Falsehood in declaration of address authorization
76		Art. 97 No. 5, Tax Code: Malicious omission of returns
77		Art. 97 No. 22, Tax Code: Misuse of authentic means of authorization of the tax service
78		Art. 97 No. 23, Tax Code: Falsification of initial status
79		Art. 100, Tax Code: Offense of falsehood or fraud by an accountant in signing returns or balance sheets
80	<b>Informal economic activity</b>	Art. 97 No. 8, Tax Code: Irregular exercise of commerce
81		Art. 97 No. 9, Tax Code: Clandestine exercise of commerce
82	<b>Abuse of tax exemptions and benefits</b>	Art. 97 No. 24, Tax Code: Abuse of tax benefits related to donations
83	<b>Falsehoods to the FNE</b>	Art. 39-h, DL 211: Concealment or falsification of information to the

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	27 of 32

			FNE (National Economic Prosecutor's Office)
84			Art. 39 bis Sec. 6, DL 211: Use of false information in leniency procedure
85	<b>Offenses of falsehoods to authorities</b>	<b>Falsehoods to the CMF (outside the Securities Market Law)</b>	Art. 35, DL 3,538: False testimony in statement before the CMF (Financial Market Commission)
86			Art. 58, DL 3,538: Fraudulent request for benefits (leniency)
87		<b>Falsehoods to SUBTEL</b>	Art. 37, Law No. 18,168: Unjustified refusal and falsehoods to the Undersecretariat of Telecommunications
88			Art. 134, Law No. 18,046: Provision of false information regarding the legal, economic, or financial situation of the company
89	<b>Corporate offenses</b>	<b>Corporate offenses</b>	Art. 134 bis, Law No. 18,046: Imposition of abusive board resolutions to the detriment of minority shareholders
90			Art. 240 No. 7, PC: Conflict of interest in transactions by directors or managers of publicly held or special corporations
91	<b>Financing of illicit activities</b>	<b>Terrorism financing</b>	Art. 8, Law No. 18,314: Terrorism financing
92		<b>Financing of illegal armed groups</b>	Art. 8, Firearms Control Law LCA: Financing of illegal armed groups

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	28 of 32

93	<b>Offenses under the Securities Market Law</b>	<b>Financing of human trafficking</b>	Art. 411 quater, PC: Promotion, facilitation, or financing of human trafficking
94		<b>Falsehoods to the market</b>	Art. 59(a), Securities Market Law (LMV): Falsehood to the market regarding the financial, legal, patrimonial, or business situation of a publicly traded issuer
95			Art. 59(g), LMV: Falsehood to the market by a person subject to CMF oversight
96		<b>Falsehoods and obstruction to the CMF</b>	Art. 62(c), LMV: Obstruction to the CMF
97			Art. 62(f), LMV: Falsehoods to the CMF
98		<b>Other falsehoods</b>	Art. 62(d), LMV: Falsehoods to the board of directors or governing body of a publicly traded issuer
99			Art. 62(d), LMV: Falsehoods to external audit firms or risk rating agencies
100			Art. 60 Sec. 1, LMV: Use of inside information
101		<b>Inside information</b>	Art. 60 Sec. 2, LMV: Improper disclosure of inside information
102			Art. 60 Sec. 3, LMV: Recommendation of transactions based on inside information

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	29 of 32

103	<b>Computer Offenses</b>	<b>Securities market transactions without authorization</b>	Art. 62(a), LMV: Public offering of securities without the required authorization or registration	
104		<b>Cyber sabotage</b>	Art. 1, Law No. 21,459: Attack on the integrity of a computer system	
105			Art. 4, Law No. 21,459: Attack on the integrity of computer data	
106			Art. 2, Law No. 21,459: Unlawful access	
107		<b>Cyber espionage</b>	Art. 3, Law No. 21,459: Unlawful interception	
108			Art. 6, Law No. 21,459: Receiving computer data	
109			Art. 8, Law No. 21,459: Abuse of devices	
110		<b>Water Usurpations</b>	<b>Theft of water and attacks against third-party water rights</b>	Art. 459 No. 1, PC: Theft of water without force
111				Art. 459 No. 2, PC: Theft of water with force
112				Art. 459 No. 3, PC: Obstruction of third-party rights
113	Art. 459 No. 4, PC: Disturbance of third-party possession			
114	Art. 460, PC: Violent usurpation of water			
115		<b>Fraudulent exercise of one's own water rights</b>	Art. 460 bis, PC: Duplication of water rights registration	

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	30 of 32

116			Art. 28, Decree with Force of Law (DFL) 4 (Law No. 19,039): Unauthorized exploitation of a trademark and simulation
117	<b>Offenses against intellectual and industrial property</b>	<b>Industrial property offenses</b>	Art. 28 bis (Law No. 19,039): Forgery of a registered trademark and its commercial exploitation
118			Art. 52, Law No. 19,039: Unauthorized exploitation of a product, object, process, or patented invention
119			<b>Mining</b>
120	<b>Falsehoods and obstruction to the environmental authority</b>	<b>Falsehoods to the Environmental Assessment Service</b>	Art. 37 bis(a), Art. 2, Law No. 20,417: Malicious submission of false information in environmental assessment
121			Art. 37 bis(b), Art. 2, Law No. 20,417: Malicious fragmentation of projects
122		<b>Falsehoods and obstruction to the Superintendency of the Environment</b>	Art. 37 bis(c), Art. 2, Law No. 20,417: Malicious submission of false information on environmental compliance
123			Art. 37 ter(a), Art. 2, Law No. 20,417: Breach of closure orders or contempt

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	31 of 32

124			Art. 37 ter(b), Art. 2, Law No. 20,417: Obstruction of supervisory activities
125		<b>Falsehoods in native forest management plans</b>	Art. 49, Law No. 20,283: Fraudulent submission of native forest management plan
126			Art. 305, PC: Polluting activity evading the environmental assessment system
127		<b>Pollution offenses</b>	Art. 306, PC: Polluting activity with repeated environmental infringement (recidivism)
128	<b>Offenses against the environment</b>		Art. 136, General Law on Fisheries and Aquaculture (LGPA): Water pollution
129		<b>Illegal extraction of water</b>	Art. 307, PC: Illegal extraction of water
130			Art. 308, PC: Offense of serious environmental damage
131		<b>Serious environmental damage offenses</b>	Art. 309, PC: Negligent offense of serious environmental damage
132			Art. 310, PC: Damage to a national protected areas system zone
133	<b>Hazardous waste</b>	<b>Illegal management of hazardous waste</b>	Art. 44, Law No. 20,920: Illegal management of hazardous waste
134	<b>Areas protected by special laws</b>	<b>Forestry offenses</b>	Art. 22 ter, Forest Law: Negligent forest fire in native or protected areas

<b>State:</b>	Homologado	CRIMINAL POLÍTICA DE PREVENCIÓN PENAL	<b>Type:</b>	Documento
<b>Version number:</b>	01		<b>Code:</b>	GA010093
<b>Effective date:</b>	18/06/2025		<b>Page:</b>	32 of 32

135		Art. 21, Forest Law: Illegal logging of native forest
136	<b>National monuments</b>	Art. 38, Law No. 17,288: Damage to a national monument
137		Art. 38 bis, Law No. 17,288: Misappropriation of a national monument