## the Wolfsberg Group

Financial Institution Name:	BANCO SECURITY	
Location (Country) :	CHILE	

The questionnaire is required to be answered on a Legal Entity (LE) Level. The Financial Institution should answer the questionnaire at the legal entity level including any branches for which the client base, products and control model are materially similar to the LE Head Office. This questionnaire should not cover more than one LE. Each question in the CBDDQ will need to be addressed from the perspective of the LE and on behalf of all of its branches. If a response for the LE differs for one of its branches, this needs to be highlighted and details regarding this difference captured at the end of each sub-section. If a branch's business activity (products offered, client base etc.) is materially different than its Entity Head Office, a separate questionnaire can be completed for that branch.

No#	Question	Answer
	ITY & OWNERSHIP	
1	Full Legal Name	BANCO SECURITY
2	Append a list of foreign branches which are covered by this questionnaire	Ali Branches
3	Full Legal (Registered) Address	Apoquindo 3150, Las Condes, Santiago de Chile
4	Full Primary Business Address (if different from above)	
5	Date of Entity incorporation/ establishment	Sept 16th, 1981
6	Select type of ownership and append an ownership chart if available	
6 a	Publicly Traded (25% of shares publicly traded)	No
6 a1	If Y, indicate the exchange traded on and ticker symbol	
6 b	Member Owned/ Mutual	No
6 c	Government or State Owned by 25% or more	No
6 d	Privately Owned	Yes
6 d1	If Y, provide details of shareholders or ultimate beneficial owners with a holding of 10% or more	Please visit http://ir-en.security.cl
7	% of the Entity's total shares composed of bearer shares	0
8	Does the Entity, or any of its branches, operate under an Offshore Banking License (OBL) ?	No
8 a	If Y, provide the name of the relevant branch/es which operate under an OBL	
9	Name of primary financial regulator / supervisory authority	Comisión para el Mercado Financiero (www.cmfchile.cl)

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10	Provide Legal Entity Identifier (LEI) if available	
11	Provide the full legal name of the ultimate parent	· · · · · · · · · · · · · · · · · · ·
	(if different from the Entity completing the DDQ)	Grupo Security (www.security.cl)
12	Jurisdiction of licensing authority and regulator of ultimate parent	Chile
13	Select the business areas applicable to the Entity	
13 a	Retail Banking	Yes
13 b	Private Banking / Wealth Management	No
13 c	Commercial Banking	Yes
13 d	Transactional Banking	Yes
13 e	Investment Banking	No
13 f	Financial Markets Trading	No
13 g	Securities Services / Custody	No
13 h	Broker / Dealer	No
13 i	Multilateral Development Bank	No
13 j	Other	
14	Does the Entity have a significant (10% or more) portfolio of non-resident customers or does it derive more than 10% of its revenue from non-resident customers? (Non-resident means customers primarily resident in a different jurisdiction to the location where bank services are provided.)	No
14 a	If Y, provide the top five countries where the non- resident customers are located.	
15	Select the closest value:	
15 a	Number of employees	1001-5000
15 b	Total Assets	Greater than \$500 million
16	Confirm that all responses provided in the above Section ENTITY & OWNERSHIP are representative of all the LE's branches	Yes
16 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
16 b	If appropriate, provide any additional information / context to the answers in this section.	
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2. PRO	DUCTS & SERVICES	
17	Does the Entity offer the following products and services:	
17 a	Correspondent Banking	No
17 a1	lf Y	
17 a2	Does the Entity offer Correspondent Banking services to domestic banks?	
17 a3	Does the Entity allow domestic bank clients to provide downstream relationships?	
17 a4	Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?	
17 a5	Does the Entity offer correspondent banking services to Foreign Banks?	
17 a6	Does the Entity allow downstream relationships with Foreign Banks?	
17 a7	Does the Entity have processes and procedures in place to identify downstream relationships with Foreign Banks?	
17 a8	Does the Entity offer correspondent banking services to regulated MSBs/MVTS?	
17 a9	Does the Entity allow downstream relationships with MSBs/MVTS?	
17 a10	Does the Entity have processes and procedures in place to identify downstream relationships with MSB /MVTS?	
17 b	Private Banking (domestic & international)	No
17 c	Trade Finance	Yes
17 d	Payable Through Accounts	No
17 e	Stored Value instruments	No
17 f	Cross Border Bulk Cash Delivery	No .
17 g	Domestic Bulk Cash Delivery	No
17 h	International Cash Letter	No
17 i	Remote Deposit Capture	No
17 j	Virtual /Digital Currencies	No
17 k	Low Price Securities	No
17 I	Hold Mail	No
17 m	Cross Border Remittances	No
17 n	Service to walk-in customers (non-account holders)	No
17 o	Sponsoring Private ATMs	No
17 p	Other high risk products and services identified by the Entity	No
18	Confirm that all responses provided in the above Section PRODUCTS & SERVICES are representative of all the LE's branches	Yes
18 a	if N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
18 b	If appropriate, provide any additional information / context to the answers in this section.	

3. AML	, CTF & SANCTIONS PROGRAMME	
19	Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components:	
19 a	Appointed Officer with sufficient experience/expertise	Yes
19 b	Cash Reporting	Yes
19 c	CDD	Yes
19 d	EDD	Yes
19 e	Beneficial Ownership	Yes
19 f	Independent Testing	Yes
19 g	Periodic Review	Yes
19 h	Policies and Procedures	Yes
19 i	Risk Assessment	Yes
19 j	Sanctions	Yes
19 k	PEP Screening	Yes
19 I	Adverse Information Screening	Yes
19 m	Suspicious Activity Reporting	Yes
19 n	Training and Education	Yes
19 o	Transaction Monitoring	Yes
20	How many full time employees are in the Entity's AML, CTF & Sanctions Compliance Department?	Less than 10
21	Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior Management Committee?	Yes
22	Does the Board or equivalent Senior Management Committee receive regular reporting on the status of the AML, CTF & Sanctions programme?	Quarterly/Every three months
23	Does the Entity use third parties to carry out any components of its AML, CTF & Sanctions programme?	No
23 a	If Y, provide further details	
24	Confirm that all responses provided in the above Section AML, CTF & SANCTIONS Programme are representative of all the LE's branches	Yes
24 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
24 b	If appropriate, provide any additional information / context to the answers in this section.	

A ANT	BRIBERY & CORRUPTION	
4. AN I 25	Has the Entity documented policies and	
25	procedures consistent with applicable ABC	
	regulations and requirements to [reasonably]	Yes
	prevent, detect and report bribery and	res
	corruption?	
26	Does the Entity have an enterprise wide	
	programme that sets minimum ABC standards?	Yes
27	Has the Entity appointed a designated officer or	
	officers with sufficient experience/expertise	
	responsible for coordinating the ABC	Yes
	programme?	
28	Does the Entity have adequate staff with	and the state of t
	appropriate levels of experience/expertise to	Yes
	implement the ABC programme?	
29	is the Entity's ABC programme applicable to:	The second secon
		Not Applicable
30	Does the Entity have a global ABC policy that:	· · · · · · · · · · · · · · · · · · ·
	, 5	
30 a	Prohibits the giving and receiving of bribes?	
	This includes promising, offering, giving,	
	solicitation or receiving of anything of value.	Yes
	directly or indirectly, if improperly intended to	
	influence action or obtain an advantage	
30 b	includes enhanced requirements regarding	Yes
	interaction with public officials?	Tes
30 c	includes a prohibition against the falsification of	The state of the s
i	books and records (this may be within the ABC	Yes
	policy or any other policy applicable to the Legal	165
	Entity)?	
31	Does the Entity have controls in place to monitor	Yes
	the effectiveness of their ABC programme?	
32	Does the Entity's Board or Senior Management	
	Committee receive regular Management Information on ABC matters?	Yes
33	Does the Entity perform an Enterprise Wide	Yes
	ABC risk assessment?	
33 a	If Y select the frequency	12 Months
34	Does the Entity have an ABC residual risk rating	
	that is the net result of the controls effectiveness	Yes
	and the inherent risk assessment?	
35	Does the Entity's ABC EWRA cover the inherent	
	risk components detailed below:	
		· ·
35 a	Potential liability created by intermediaries and	Yes
	other third-party providers as appropriate	165
35 b	Corruption risks associated with the countries	
	and industries in which the Entity does business,	Yes
	directly or through intermediaries	
35 ¢	Transactions, products or services, including	
	those that involve state-owned or state-	Yes
	controlled entities or public officials	
35 d	Corruption risks associated with gifts and	
	hospitality, hiring/internships, charitable	Yes
	donations and political contributions	
35 e	Changes in business activities that may	V
		Yes
	materially increase the Entity's corruption risk	
36	Does the Entity's internal audit function or other	
	Does the Entity's internal audit function or other	Yes

37	Does the Entity provide mandatory ABC training to:	
37 a	Board and senior Committee Management	Yes
37 b	1st Line of Defence	Yes
37 c	2nd Line of Defence	Yes
37 d	3rd Line of Defence	Yes
37 e	3rd parties to which specific compliance activities subject to ABC risk have been outsourced	Not Applicable
37 f	Non-employed workers as appropriate (contractors/consultants)	No
38	Does the Entity provide ABC training that is targeted to specific roles, responsibilities and activities?	Yes
39	Confirm that all responses provided in the above Section Anti Bribery & Corruption are representative of all the LE's branches	Yes
39 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
39 b	If appropriate, provide any additional information / context to the answers in this section.	

5. AML	CTF & SANCTIONS POLICIES & PROC	EDURES
40	Has the Entity documented policies and procedures consistent with applicable AML, CTF & Sanctions regulations and requirements to reasonably prevent, detect and report:	
40 a	Money laundering	Yes
40 b	Terrorist financing	
40 c	Sanctions violations	Yes
		Yes
41	Are the Entity's policies and procedures updated at least annually?	Yes
42	Are the Entity's policies and procedures gapped against/compared to:	
42 a	US Standards	Yes
42 a1	If Y, does the Entity retain a record of the results?	Not Applicable
42 b	EU Standards	Yes
42 b1	If Y, does the Entity retain a record of the	Not Applicable
43	results?  Does the Entity have policies and procedures	
43 a	that:  Prohibit the opening and keeping of anonymous	
43 b	and fictitious named accounts  Prohibit the opening and keeping of accounts for	Yes
43 c	unlicensed banks and/or NBFIs  Prohibit dealing with other entities that provide	Yes
	banking services to unlicensed banks	Yes
43 d	Prohibit accounts/relationships with shell banks	Yes
43 e	Prohibit dealing with another entity that provides services to shell banks	Yes
43 f	Prohibit opening and keeping of accounts for Section 311 designated entities	Yes
43 g	Prohibit opening and keeping of accounts for any of unlicensed/unregulated remittance agents, exchanges houses, casa de cambio, bureaux de change or money transfer agents	Yes
43 h	Assess the risks of relationships with domestic and foreign PEPs, including their family and close associates	Yes
43 i	Define escalation processes for financial crime risk issues	Yes
43 j	Define the process, where appropriate, for terminating existing customer relationships due to financial crime risk	Yes
43 k	Specify how potentially suspicious activity identified by employees is to be escalated and investigated	Yes
43	Outline the processes regarding screening for sanctions, PEPs and negative media	Yes
43 m	Outline the processes for the maintenance of internal "watchlists"	Yes
44	Has the Entity defined a risk tolerance statement or similar document which defines a risk boundary around their business?	
45	Does the Entity have a record retention	Yes
45 a	procedures that comply with applicable laws?  If Y, what is the retention period?	
46	Confirm that all responses provided in the above Section POLICIES & PROCEDURES are	5 years or more Yes
46 a	representative of all the LE's branches  If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
46 b	If appropriate, provide any additional information / context to the answers in this section.	

47	Does the Entity's AML & CTF EWRA cover the	
	inherent risk components detailed below:	
47 a	Client	Yes
47 Ь	Product	Yes
47 c	Channel	Yes
47 d	Geography	Yes
48	Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below:	
48 a	Transaction Monitoring	Yes
48 b	Customer Due Diligence	Yes
48 c	PEP Identification	Yes
48 d	Transaction Screening	Yes
48 e	Name Screening against Adverse Media & Negative News	Yes
48 f	Training and Education	Yes
48 g	Governance	Yes
48 h	Management Information	Yes
49	Has the Entity's AML & CTF EWRA been completed in the last 12 months?	Yes
49 a	If N, provide the date when the last AML & CTF EWRA was completed.	
50	Does the Entity's Sanctions EWRA cover the inherent risk components detailed below:	
50 a	Client Client	Yes
50 b	Product	Yes
50 c	Channel	Yes
50 d	Geography	Yes

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npleted in the last 12 months? , provide the date when the last Sanctions	Yes
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nfirm that all responses provided in the above ction AML, CTF & SANCTIONS RISK SESSMENT are representative of all the LE's nches	
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n l, at	ches clarify which questions the difference/s e to and the branch/es that this applies to.  propriate, provide any additional information

7. KY0	CDD and EDD	
54	Does the Entity verify the identity of the customer?	Yes
55	Do the Entity's policies and procedures set out when CDD must be completed, e.g. at the time of onboarding or within 30 days	Yes
56	Which of the following does the Entity gather and retain when conducting CDD? Select all that apply:	
56 a	Ownership structure	Yeş
56 b	Customer identification	Yes
56 c	Expected activity	Yes
56 d	Nature of business/employment	Yes
56 e	Product usage	Yes
56 f	Purpose and nature of relationship	Yes
56 g	Source of funds	Yes
56 h	Source of wealth	Yes
57	Are each of the following identified:	
57 a	Ultimate beneficial ownership	Yes
57 a1	Are ultimate beneficial owners verified?	Yes
57 b	Authorised signatories (where applicable)	Yes
57 c	Key controllers	Yes
57 d	Other relevant parties	
58	What is the Entity's minimum (lowest) threshold applied to beneficial ownership identification?	10%
59	Does the due diligence process result in customers receiving a risk classification?	Yes

60	If Y, what factors/criteria are used to determine the customer's risk classification? Select all that apply:	
60 a	Product Usage	
00.1	Samuel	Yes
60 Ь	Geography	Yes
60 c	Business Type/Industry	Yes
60 d	Legal Entity type	Yes
60 e	Adverse Information	Yes
60 f	Other (specify)	
61	Does the Entity have a risk based approach to screening customers for adverse media/negative news?	Yas
62	If Y, is this at:	
62 a	Onboarding	Yes
62 b	KYC renewal	Yes
62 c	Trigger event	Yes
63	What is the method used by the Entity to screen for adverse media / negative news?	Automated
64	Does the Entity have a risk based approach to screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?	Yes
65	If Y, is this at:	
65 a	Onboarding	Yes
65 b	KYC renewal	Yes
65 c	Trigger event	Yes
66	What is the method used by the Entity to screen PEPs?	Automated
67	Does the Entity have policies, procedures and processes to review and escalate potential matches from screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?	Yes
68	Does the Entity have a process to review and update customer information based on:	
68 a	KYC renewal	Yes
68 b	Trigger event	Yes
69	Does the Entity maintain and report metrics on current and past periodic or trigger event due diligence reviews?	Yes

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70	From the list below, which categories of customers or industries are subject to EDD and/or are restricted, or prohibited by the Entity's FCC programme?	
70 a	Non-account customers	Prohibited
70 b	Non-resident customers	Prohibited
70 c	Shell banks	Prohibited
70 d	MVTS/ MSB customers	EDD & restricted on a risk based approach
70 e	PEPs	EDD on a risk based approach
70 f	PEP Related	EDD on a risk based approach
70 g	PEP Close Associate	EDD on a risk based approach
70 h	Correspondent Banks	Do not have this category of customer or industry
70 h1	If EDD or EDD & restricted, does the EDD assessment contain the elements as set out in the Wolfsberg Correspondent Banking Principles 2014?	No No
70 i	Arms, defense, military	EDD on a risk based approach
70 j	Atomic power	Do not have this category of customer or industry
70 k	Extractive industries	EDD on a risk based approach
70 I	Precious metals and stones	EDD on a risk based approach
70 m	Unregulated charities	Prohibited
70 n	Regulated charities	EDD on a risk based approach
70 o	Red light business / Adult entertainment	Prohibited
70 p	Non-Government Organisations	EDD on a risk based approach
70 q	Virtual currencies	Prohibited
70 r	Marijuana	Prohibited
70 s	Embassies/Consulates	EDD on a risk based approach
70 t	Gambling	EDD on a risk based approach
70 u	Payment Service Provider	EDD on a risk based approach
70 v	Other (specify)	
71	If restricted, provide details of the restriction	·
72	Does the Entity perform an additional control or quality review on clients subject to EDD?	Yes
73	Confirm that all responses provided in the above Section KYC, CDD and EDD are representative of all the LE's branches	
73 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to	
73 b	if appropriate, provide any additional information / context to the answers in this section.	

NITORING & REPORTING	
Does the Entity have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious activity?	Yes
What is the method used by the Entity to monitor transactions for suspicious activities?	Automated
If manual or combination selected, specify what type of transactions are monitored manually	
Does the Entity have regulatory requirements to report suspicious transactions?	Yes
If Y, does the Entity have policies, procedures and processes to comply with suspicious transaction reporting requirements?	Yes
Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity?	Yes
Confirm that all responses provided in the above Section MONITORING & REPORTING are representative of all the LE's branches	Yes
If N, clarify which questions the difference/s relate to and the branch/es that this applies to	
If appropriate, provide any additional information / context to the answers in this section.	
	Does the Entity have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious activity?  What is the method used by the Entity to monitor transactions for suspicious activities?  If manual or combination selected, specify what type of transactions are monitored manually  Does the Entity have regulatory requirements to report suspicious transactions?  If Y, does the Entity have policies, procedures and processes to comply with suspicious transaction reporting requirements?  Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity?  Confirm that all responses provided in the above Section MONITORING & REPORTING are representative of all the LE's branches  If N, clarify which questions the difference/s relate to and the branch/es that this applies to

9. PAY	MENT TRANSPARENCY	
80	Does the Entity adhere to the Wolfsberg Group Payment Transparency Standards?	Yes
81	Does the Entity have policies, procedures and processes to [reasonably] comply with and have controls in place to ensure compliance with:	
81 a	FATF Recommendation 16	Yes
81 b	Local Regulations	Yes
81 61	Specify the regulation	Circular N°59 de la Unidad de analisis Financiero (www.uaf.cl)
81 c	If N, explain	
82	Does the Entity have processes in place to respond to Request For Information (RFIs) from other entities in a timely manner?	Yes
83	Does the Entity have controls to support the inclusion of required and accurate originator information in international payment messages?	Yes
84	Does the Entity have controls to support the inclusion of required beneficiary information international payment messages?	Yes
85	Confirm that all responses provided in the above Section PAYMENT TRANSPARENCY are representative of all the LE's branches	Yes
85 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
85 b	If appropriate, provide any additional information / context to the answers in this section.	

See Does the Entity have a Sanctions Policy approved by management regarding compliance with sanctions law applicable to the Entity, including with respect its business conducted with, or through accounts held at foreign financial institutions?  37 Does the Entity have policies, procedures, or other controls rescensibly designed to prevent with the control increasonally designed to private another anoth	10. SAN	NCTIONS	
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95 When regulatory authorities make updates to their Sanctions list, how many business days before the entity updates their active manual and/or automated screening systems against:  95 a Customer Data  Same day to 2 business days			· ·
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their Sanctions list, how many business days before the entity updates their active manual and/or automated screening systems against:  95 a Customer Data  Same day to 2 business days	95	When regulatory authorities make updates to	
before the entity updates their active manual and/or automated screening systems against:  95 a Customer Data  Same day to 2 business days			
and/or automated screening systems against:  95 a Customer Data  Same day to 2 business days		before the entity undates their active magnet	
95 a Customer Data Same day to 2 business days			
Same day to 2 business days	0F -		
	es a	Customer Data	
			Same day to 2 business days
95 b   Iransactions	95 b	Transactions	
Same day to 2 business days			Same day to 2 business days

	Does the Entity have a physical presence, e.g., branches, subsidiaries, or representative offices located in countries/regions against which UN, OFAC, OFSI, EU and G7 member countries have enacted comprehensive jurisdiction-based Sanctions?	No
97	Confirm that all responses provided in the above Section SANCTIONS are representative of all the LE's branches	Yes
97 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
97 b	If appropriate, provide any additional information / context to the answers in this section.	

11.TR	AINING & EDUCATION	
98	Does the Entity provide mandatory training, which includes :	
98 a	Identification and reporting of transactions to government authorities	Yes
98 b	Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered	Yes
98 c	Internal policies for controlling money laundering, terrorist financing and sanctions violations	Yes
98 d	New issues that occur in the market, e.g., significant regulatory actions or new regulations	Yes
98 e	Conduct and Culture	Yes
99	is the above mandatory training provided to:	
99 a	Board and Senior Committee Management	Yes
99 b	1st Line of Defence	Yes
99 c	2nd Line of Defence	Yes
99 d	3rd Line of Defence	Yes
99 e	3rd parties to which specific FCC activities have been outsourced	Not Applicable
99 f	Non-employed workers (contractors/consultants)	Yes
100	Does the Entity provide AML, CTF & Sanctions training that is targeted to specific roles, responsibilities and high risk products, services and activities?	Yes
101	Does the Entity provide customised training for AML, CTF and Sanctions staff?	Yes
102	Confirm that all responses provided in the above Section TRAINING & EDUCATION are representative of all the LE's branches	Yes
102 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
102 b	if appropriate, provide any additional information / context to the answers in this section.	

JALITY ASSURANCE /COMPLIANCE TEST	TING
Are the Entity's KYC processes and documents subject to quality assurance testing?	Yes
Does the Entity have a program wide risk based Compliance Testing process (separate to the independent Audit function)?	Yes
Confirm that all responses provided in the above Section QUALITY ASSURANCE / COMPLIANCE TESTING are representative of all the LE's branches	Yes
If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
If appropriate, provide any additional information / context to the answers in this section.	
	Are the Entity's KYC processes and documents subject to quality assurance testing?  Does the Entity have a program wide risk based Compliance Testing process (separate to the independent Audit function)?  Confirm that all responses provided in the above Section QUALITY ASSURANCE / COMPLIANCE TESTING are representative of all the LE's branches  If N, clarify which questions the difference/s relate to and the branch/es that this applies to.  If appropriate, provide any additional information

CBDDQ V1.3

addition to inspections by the government apprivisors/regulators, does the Entity have an termal audit function, a testing function or other dependent third party, or both, that assesses CC AML, CTF and Sanctions policies and ractices on a regular basis?  ow often is the Entity audited on its AML, CTF Sanctions programme by the following: termal Audit Department external Third Party  oes the internal audit function or other dependent third party cover the following reas:  ML, CTF & Sanctions policy and procedures  YC / CDD / EDD and underlying tethodologies  ransaction Monitoring  ransaction Screening including for sanctions  ame Screening & List Management	Yearly Yearly Yes Yes Yes Yes Yes Yes Yes
Sanctions programme by the following: Internal Audit Department  Internal Third Party  Internal Third Party  Internal Third Party  Internal audit function or other Internal Audit Party Interna	Yearly  Yes  Yes  Yes  Yes
oes the internal audit function or other dependent third party cover the following reas:  ML, CTF & Sanctions policy and procedures  YC / CDD / EDD and underlying rethodologies  ransaction Monitoring  ransaction Screening including for sanctions  ame Screening & List Management	Yes Yes Yes Yes
oes the internal audit function or other dependent third party cover the following reas:  ML, CTF & Sanctions policy and procedures  YC / CDD / EDD and underlying lethodologies  ransaction Monitoring  ransaction Screening including for sanctions  ame Screening & List Management	Yes Yes Yes Yes
dependent third party cover the following reas:  ML, CTF & Sanctions policy and procedures  YC / CDD / EDD and underlying sethodologies ransaction Monitoring ransaction Screening including for sanctions ame Screening & List Management	Yes Yes Yes
YC / CDD / EDD and underlying lethodologies ransaction Monitoring ransaction Screening including for sanctions ame Screening & List Management	Yes Yes Yes
ransaction Monitoring  ransaction Screening including for sanctions  ame Screening & List Management	Yes Yes
ransaction Screening including for sanctions ame Screening & List Management	Yes
ame Screening & List Management	
	Ves
raining 9 Education	1.00
raining & Education	Yes
echnology	Yes
overnance	Yes
eporting/Metrics & Management Information	Yes
uspicious Activity Filing	Yes
nterprise Wide Risk Assessment	Yes
ther (specify)	
re adverse findings from internal & external udit tracked to completion and assessed for dequacy and completeness?	Yes
onfirm that all responses provided in the above ection, AUDIT are representative of all the LE's ranches	Yes
N, clarify which questions the difference/s late to and the branch/es that this applies to.	
appropriate, provide any additional information	
n u d c	e adverse findings from internal & external dit tracked to completion and assessed for equacy and completeness? only internal all responses provided in the above ction, AUDIT are representative of all the LE's anches

## Declaration Statement

Wolfsberg Group Correspondent Banking Due Diligence Questionnaire 2020 (CBDDQ V1.3)

Declaration Statement (To be signed by Global Head of Correspondent Banking or equivalent position holder AND Group Money Laundering Prevention Officer, Global Head of Anti- Money Laundering, Chief Compliance Officer, Global Head of Financial Crimes Compliance OR equivalent)

## BANCO SECURITY

(Financial Institution name) is fully committed to the fight against financial crime and makes

every effort to remain in full compliance with all applicable financial crime laws, regulations and standards in all of the jurisdictions in which it does business and holds accounts.

The Financial Institution understands the critical importance of having effective and sustainable controls to combat financial crime in order to protect its reputation and to meet its legal and regulatory obligations.

The Financial Institution recognises the importance of transparency regarding parties to transactions in international payments and has adopted/is committed to adopting these standards.

The Financial Institution further certifies it complies with / is working to comply with the Wolfsberg Correspondent Banking Principles and the Wolfsberg Trade Finance Principles. The information provided in thisWolfsberg CBDDQ will be kept current and will be updated no less frequently than on an annual basis.

The Financial Institution commits to file accurate supplemental information on a timely basis.

MATIAS ERRAZURIZ PALACIOS

(Global Head of Correspondent Banking or equivalent), certify that I have read and understood this declaration, that the answers provided in this Wolfsberg CBDDQ are complete and correct to my honest belief, and that I am authorised to execute this declaration on behalf of the Financial Institution

(MLRO or equivalent), certify that I have read and understood this declaration, that the answers provided in this Wolfsberg CBDDQ are complete and correct to my honest belief, and that I am authorised to execute this declaration on behalf of the Financial Institution.

P090 222 (Signature & Data)

07/01/2022 Signature & Date)