ALUICA

INTERNATIONAL COUNTERPART´S INFORMATION GATHERING AND UPDATE FORMAT
External Legal Circular 0170 october of 2002

CODE: COMER-F-002
VERSIÓN: 02
DATE: 25-01-2024

PROCESS: PURCHASING

ALUICA S.A.S., in compliance with the Chapter X of the Circular Básica Jurídica de la Superintendencia de Sociedades in relation to money laundering, terrorist financing and financing of proliferation of weapons of mass destruction management and control, is obliged to request the following data and information which will be treatad according to the personal data protection policy of Colombia and with absolute confidentiality and discretion.

(Strictly confidential information) **FECHA:** **DAY:** 26 **MONTH:** DECEMBE **YEAR:** 2025

TYPE OF PROCEDURE: **CUSTOMER** ☐ **SUPPLIER** ☐ Filled by: ______

All boxes of this format must be filled, thus in those where there is no information please write N.A. (Not Applicable).

1. GENERAL INFORMATION

NAME / BUSINESS NAME: ______

TYPE CORPORATE ID ☐ **CORPORATE ID NUMBER** ______ **TYPE OF ENTITY:** PUBLIC **COUNTRY:** ______

STREET ADDRESS: ______ **CITY:** ______ **PHONE / MOBILE:** ______

WEBSITE: ______ **E - MAIL:** ______

2. INFORMATION ON LEGAL REPRESENTATIVE (only legal persons)

MAIN: ☐
ALTERNATE: ☐

LASTNAMES: ______ FULL NAMES: ______

ID TYPE ☐ IDENTIFICATION NUMBER ______ DATE OF ISSUE 21/11/1989 PLACE OF ISSUE ______

DATE OF BIRTH 24/11/1989 PLACE OF BIRTH ______ CITY / PROVINCE ______

3.SHAREHOLDERS, ASSOCIATES OR END BENEFICIARIES (Relate the ownership with a share equal to or greater than 5%)

Full Name or Bussines Name	Type and identification number	Address	City	Participation %

4. FINANCIAL INFORMATION

CUTT - OFF DATE:	Total Assets	Total Liabilities:	Total Net Assets	Total Monthly Income:	Total Of Other Income	Total Monthly Expenses
19/8/23	$	$	$	$	$	$

6. INTERNATIONAL OPERATIONS

PERFORM OPERATIONS IN FOREIGN CURRENCY

YES: ☐ NO: ☐

FREQUENCY OF OPERATIONS: ______ METHOD OF PAYMENT: ______

FINANCIAL ENTITY OR PAYING ENTITY: ______ MODE OF TRANSPORT: ______

TYPE AND VALUE OF GOODS: ______ CITY: ______

SOURCE OF RESOURCES WITH WHICH FOREIGN TRADE OPERATIONS ARE PERFORMED:

EXPORTS: ☐ IMPORTS: ☐ TRANSFERS: ☐ OTHER: ☐ SPECIFY: ______

7. IDENTIFYING POLITICALLY EXPOSED PERSON-PEP

MANAGE PUBLIC RESOURCES CURRENTLY OR IN THE PAST? YES: ☐ NO: ☐ **HAVE OR HAD A PUBLIC OFFICE?** YES: ☐ NO: ☐ **WHAT POSITION YOU HAVE OR HAD?** ______

SINCE: ______ UNTIL: ______ HAVE KNOWLEDGE OF MANAGERS OR SHAREHOLDERS BEING IN SANCTIONS LISTS? SI: ☐ NO: ☐

In case of your affirmative answer, please fill out the following boxes with the information of the identified people:

NAME	TYPE AND IDENTIFICATION NUMBER	RELATING TO SOCIETY	REASON FOR THE PEP QUALITY

8. OPERATIONAL INFORMATION

AREA	NAME AND LASTNAME	POSITIONS	PHONE - MOVIL PHONE	E - MAIL
Commercial				
Accounting				

9. ELECTRONIC INVOICE CONTACT (Decree 2242 of 2015)

CONTACT (Name and lastname): ______ POSITION (Title): ______

E - MAIL: ______ PHONE: ______ MOBILE PHONE: ______

10. ASSETS AND FUNDS SOURCE DECLARATION

I, ______ holder of a personal ID with the following number: ______ acting as myself and/or in the name of the company I willingly represent, and with the purpose of complying with the legal regulation in relation to money laundering and terrorist financing management and control, hereby declare that:

1. All information provided hereinabove is true and correct.
2. The source of my resources is provided from the development of the following activity(ies): ______
3. My economic activity is licit and the source of the monies I deposit in my accoun(s) and other operations I perform, proceed from the ordinary outcome of licit activities. Furthemore, I declare that the products commercialized, manufactured or produced by me come from legal activities, have been rightfully nationalized, and ar NOT a product of smuggling nor elements of restricted sales that don´t have authorization or license.
4. I have knowledge and am responsible for all transfers, deposits and movements generated from and towards my financial accounts.
5. The information here registered is according to the reality and I assume full responsability of the truthfullness of it.

11. DECLARATIONS AND AUTHORISATIONS

11.1. Data Treatment: in compliance to Law 1581 of 2012, the Decree 886 of 2014 and Regulatory Decree 1074 of 2015, ALUICA S.A.S. will be responsible for the Processing of Personal Data and, in such virtue, can manage, capture, store, analyze, report, process, operate, verify, transmit, transfer, use or put in circulation and consult the personal information and the information of the business represented currently and developed in the future during the term of the business and/or contractual relationship stablished with ALUICA S.A.S. with the purpose of: i) promoting and provide our products and/or services, ii) sending releases and other type of documentation related to the commercial activity, iii) inform about the state of order and payments in the sense of the obligations by the holder; iv) supply business references to entities that require likewise; v) verify background in the commercial, reputational and risk relationship associated to Money Laundering, Terrorist Financing and Financing of Proliferation of Weapons of Mass Destruction and acts of Bribery Transactions and/or Corruption, which includes the respective search in sanctions lists and risk central directly or through a third party that ALUICA S.A.S. hire for the previous; vi) conduct internal market studies; vii) send invites to events and contests and vii) other purposes stablished in the internal data policy of ALUICA S.A.S which can be consulted in the following webpage www.aluica.com.co.
In each case, the holder of the registered information in this form have the right to: know, update, rectify, and/or request the prove of the given authorization or suppression of the data, to be informed about the use given to the personal data, and revoke the given authorization. These rights can be exercised by presenting a query or claim through the following email: rnbd@aluica.com.co or at the facilities located at the following address: Calle 10a N° 13b - 02 MZ C BG 6, Mosquera, Colombia.

11.2 Anti-Bribery Policy: I agree not to give, promise, pay, offer or accept a bribe or any other type of improper payment, or to perform any act of corruption in accordance with the current regulations that may infringe international laws against bribery, the OECD Anti-Bribery Convention, the Law 1778 of 2016 in colombian legislation, and other laws of anti-bribery that result applicable, according to the Business Transparency and Ethics Program-Compliance Manual of ALUICA S.A.S. Likewise, the mentioned company agrees to seek that our affiliates and employees don´t perform, promise or offer improper payments of (i) sums of money, (ii) objects with pecuniary worth, or (iii) any other benefit or utility in exchange of said public server perform, omit, or delay any other act related to his/her functions in relation to a business or international transaction.

11.3. Obligation of the Information Update: I hereby, and in virtue of the contractual bond, agrees to update the information that lays in this form as well as the respective documentation, at least annually. Read carefully the clauses, the legal representative´s signature implies the acceptance of them.

Read carefully the clauses, the legal representative´s signature implies the aceptance of them

12. REQUIRED ANNEXES

12. REQUIRED ANNEXES	YES:	NO:
Certificate of existence and legal representation, issued no longer than 30 days before.		
SSN (Social Security Number) or TIN (Taxpayer Identification Number) certificate, issued no longer than 30 days before.		
Share Certificate, issued no longer than 90 days before		
Valid ID Number of the legal representative		
2 business references, issued no longer than 30 days before		
Financial statements of the last fiscal year (financial/budget year) with due certificate and ruled		
Certification format of compliance of the legal regulation to money Laundering, Terrorist financing and financing of proliferation of weaponds of mass destruction and acts of bribery transactions and/or Corruption.		

fadfa

SIGNATURE OF THE LEGAL

REPRESENTATIVE

FINGERPRINT

As record of having read, undestood and agreed to the stated hereinabove, I sign the present document.

EXCLUSIVE SPACE FOR THE USE OF ALUICA S.A.S. / VERIFICATION OF INFORMATION.

USE OF COMMERCIAL AREA

APPROVED QUOTA: ______ METHOD OF PAYMENT: ______

PRICES: **COMMERCIAL** ☐ **INDUSTRIAL** ☐ **WINDOWS** ☐ **GENERAL** ☐

COMMENTS AND/OR AUTHORISATIONS

COMMERCIAL ADVISOR	COMMERCIAL DIRECTOR	COMMERCIAL MANAGER (If the customer is on credit)
NAME:	NAME:	NAME:
SIGNATURE:	SIGNATURE:	SIGNATURE:
DATE:	DATE:	DATE:

VERIFICATION OF INFORMATION

NAME: ______ POSITION: ______ DATE: 15/8/02 TIME: ______

VERIFICATIONS: ______

SIGNATURE:

OFFICIAL APPROVAL OF COMPLIANCE

NAME: ______ DATE: 1/8/23 TIME: ______

VERIFICATIONS: ______

AUTHORISES
YES ☐ **NO** ☐

SIGNATURE:

LEGAL REPRESENTATIVE APPROVAL (When required for DDI)

NAME: ______

REMARKS: ______

SIGNATURE:

CREATION AND/OR UPDATING

NAME: ______ POSITION: ______

DATE: 30/8/23 TIME: ______

SIGNATURE: