

**LIZ TATIANA ARTEAGA ULFE**

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*Spanish – English – French*

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**CERTIFIED TRANSLATION**

**TC N° 0769-2019**

**POLICY ON THE PREVENTION OF THE  
RISK OF MONEY-LAUNDERING AND  
FINANCING OF TERRORISM ML/FT**



  
Liz Arteaga Ulfe  
CTP-N° 0353

N° 0360792

Valor 3.50 Soles



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## 1. BACKGROUND

**DIAGNÓSTICO UAL S.A.C.**, identified with Single Taxpayer Identification N° 20470358484, whose premises are located at the following addresses:

- Av. Tizón y Bueno 836, Jesús Maria, Lima
- Parque Francisco Graña 200, Urb. Pershing, Magdalena del Mar, Lima

## 2. DEFINITIONS

- **Financing of Terrorism:** Whoever, by any means, directly or indirectly, inside or outside the national territory, voluntarily s, contributes or collects means, funds, financial or economic resources or financial services or related services or of any nature, whether of licit or illicit origin, in order to commit any of the terrorist acts defined in the treaties to which Peru is a party, the realization of the goals or to secure the existence of a terrorist group or individual terrorists.
- **Money-Laundering:** Whoever exchanges or transfers money, goods, effects or earnings whose illicit origin he/she is aware of, or ought to have presumed, in order to avoid the identification of their origin, their seizure or confiscation.
- **Compliance Officer:** This is the person responsible for overseeing the adequate implementation and functioning of the Anti-bribery Management System within the organization.
- **Interested Third Party:** A person who provides services to the company or acts on its behalf, regardless of the contractual relationship that binds them. Some examples of associated persons could be: agents, suppliers, subsidiaries, outsourcing and strategic allies, among others.

## 3. GROUNDS

It is the duty of all the shareholders, possible investors, members of the Board of Directors, employees, customers, suppliers, contractors, strategic allies and other third parties interested in and related to **DIAGNÓSTICO UAL S.A.C.**, to become aware of, and commit to, the fight against money-laundering and financing of terrorism, making their best efforts in order to prevent the institution from becoming involved in illicit actions, not only for reasons of loyalty, but also for reasons of ethics and legality, in compliance with the legal norms.

## 4. REACH

This applies to all shareholders, members of the Board of Directors, employees, customers, suppliers, contractors, strategic allies and other third parties that are interested or who are part of the third parties interested in **DIAGNÓSTICO UAL S.A.C.**



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## 5. SCOPE OF APPLICATION

It comprises all the activities conducted by **DIAGNÓSTICO UAL S.A.C.** within the framework of its corporate purpose.

## 6. RESPONSIBILITY

**Governing Body:** It is responsible for the approval of this Policy.

**General Management:** They are responsible for establishing and communicating the guidelines of this policy internally and externally to the members of the organization and interested third parties.

**Compliance Officer:** He/she is responsible for overseeing the application of this policy by the members of the organization and interested third parties.

## 7. POLICY

**DIAGNÓSTICO UAL S.A.C.** hereby commits to making its best efforts in order to prevent and control the organization from being used as an instrument for the concealment, handling, investment or leveraging, in any manner, of money or other goods coming from illicit activities, or in order to give an appearance of legality to these or to the transactions and funds connected to them in order to destine the moneys or other goods delivered or administered by the organization to money-laundering and financing of terrorism.

(Signature) Lily Gladys Otiniano Erroch - General Manager - Diagnostico UAL S.A.C.


(Signature and seal) GENERAL MANAGEMENT - Approved - DIAGNÓSTICO UAL S.A.C.

I, the undersigned Certified Translator, Member of the Peruvian Association of Professional Licensed Translators (CTP), do hereby certify that this Certified Translation, consisting of 02 pages, is a true and correct translation into English of the original document in Spanish enclosed herewith, which has been produced before me.

this certification shall be considered an acknowledgment of the accuracy of the translation but not of the authenticity or contents of the document in source language attached hereto.

Signed in Lima, this 23<sup>rd</sup> day of August, 2019



  
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