

## AES Andes Helpline 2020 report

At AES Andes we have a Code of Conduct and an Ethics and Compliance Program, which was approved by the Board of Directors, intended to conduct our business according to the highest standards of integrity. The Code of Conduct, regulates the actions of all the persons who work in our Company, including our subsidiaries.

AES Andes maintains a dedicated Ethics and Compliance (E&C) Department staffed by experienced professionals in Chile and headed by the Ethics and Compliance Manager. The Chief Ethics and Compliance Officer (CECO) is appointed by the AES Andes Board of Directors and reports directly to the AES Corporation CECO. The AES Andes CECO meets regularly with the AES CECO and regularly provides reports and updates on E&C issues to the entire Compliance Department.

Our Ethics and Compliance Department (E&C), is responsible for ensuring adherence to the Code of Conduct and the Ethics and Compliance Program. The E&C Department offers training, information and certification programs for our collaborators related to our Code of Conduct and programs to prevent and detect criminal behaviors, foster an organizational culture that promotes ethical behavior and commitment to compliance with the laws, in addition to monitoring and enforcing our policies on corruption, bribery, money laundering, and partnerships with terrorist groups.

The Helpline is a tool made available to the public via phone and web 24/7 so that our collaborators, suppliers, customers, community members or other stakeholders may ask questions, seek advice or report violations against the law, the Ethics and Compliance Program or the Code of Conduct.

Administered by a third-party vendor, who refers the reports to the Ethics and Compliance Department for investigation, the Helpline allows anonymous contact by assigning a subject number and personal identification number (PIN) to the reporter so that they can continue to communicate anonymously with the Department in the course of the relevant investigation. The Ethics and Compliance Department receives and manages questions by phone, email or face-to-face, and investigates the concerns and provides advice when the management or other departments receive and refer issues of such nature.

The investigation steps, findings and the resulting corrective actions are entered in the confidential database of E&C research. For follow-up purposes, the reports are classified into complaints (including concerns with respect to improper or unlawful activities requiring research) or queries (including requests for advice on substantive issues, such as conflicts of interest and donations).

During 2020, we received a total of 16 complaints, which were all investigated, and their closing requests were all sent to the parent company, AES Corporation, according the closing procedure. After the investigations, disciplinary actions were taken in those applicable in accordance with internal procedures and local regulations. They include issues related to

- to human resources topics - 10
- conflicts of interest - 1
- to health or safety at work – 5