
 <p>VIÑA CONCHA Y TORO — FAMILY OF WINERIES —</p>	<p>CRIME PREVENTION POLICY</p>	
<p>Prosecution Compliance Office</p>	<p>PO-OC-01</p>	<p>Page 1 of 14</p>

1 OBJECTIVE

The Board of Directors of Viña Concha y Toro S.A. has defined as one of the essential missions of the Company the duty of its board members, executives and workers to promote and base their actions on ethical conduct, which is why it establishes this Crime Prevention Policy, based on the Chilean Law N° 20,393, the Foreign Corrupt Practices Act (FCPA) and the UK Bribery Act (UKBA).



The above definition is part of the principles and fundamental values of the Company contained in the Code of Ethics and Conduct of Viña Concha y Toro S.A. and Subsidiaries, which is why its correct and adequate follow-up is indeed a special concern of the Company.

Our culture of integrity and conduct of excellence, respect and collaboration, make it necessary for all of those who partake in the company to follow the crime prevention guidelines set forth in Chilean law 20.393 covering the "Criminal Liability of Legal Persons", as well as in the FCPA and the UKBA, based on the implementation of the Crime Prevention Program, hereinafter MPD/CP, and its subsequent evaluation for continuous improvement. Therefore, this Policy is intended to deliver the company's tools and guidelines necessary to prevent conduct affecting corporate integrity or that could result in criminal liability against Viña Concha y Toro S.A. and its national and foreign subsidiaries.

2 SCOPE

The scope of this Policy and of the Crime Prevention Program includes all of those who are part of Viña Concha y Toro S.A. and its national and foreign subsidiaries, as well as its *stakeholders*.

<p>DEVELOPED: Compliance Lawyer</p>	<p>REVISÓ: Compliance Officer</p>	<p>APPROVED: Directory</p>	<p>VERSION: 01 CREATION DATE: 26-08-2021</p>
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3 DEFINITIONS

- a) Money Laundering¹: Is understood as the concealment or disguise of the illicit origin of certain assets (for example, coming from drug trafficking, the financing of terrorist activity, arms trafficking, promotion of child prostitution, kidnapping, use of privileged information, embezzlement of public funds, bribery, etc.), or the acquisition, possession or use of such goods for profit, when at the time of receiving them their illicit origin is known.
- b) Financing of Terrorism²: The crime of financing terrorism is committed by any natural or legal person who via any means should solicit, collect or provide funds for the purpose of their being used in the commission of terrorist crimes, such as seizing or attacking a means of public transportation in service, a Head of State or other authorities, or unlawfully associating with the purpose of committing terrorist offences, among others.
- c) Bribery³:
- Passive Corruption: This crime is committed by the employee or representative (of the private sector) who solicits or agrees to receive an economic or other kind of benefit for himself or a third party, to favor or for having favored -while exercising his/her duties- contracting one bidder instead of or over another.
 - Active Corruption: This crime is committed by the one who gives, offers or consents to give an employee or representative (of the private sector) an economic or other kind of benefit, for him/herself or a third party, to favor or for having favored contracting one bidder instead of or over another.

¹ Article 27, Chilean Law No. 19.913

² Article 8, Chilean Law No. 18.314

³ Article 287 bis and 287 ter, Chilean Criminal Code

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d) **Bribery**: Corresponds to the acceptance or offering of an economic benefit made to a national or foreign public official. A crime of bribery is committed by:



- ⁴Anyone who offers or consents to give a public official an economic benefit, for the benefit of the latter or a third party, to perform improper actions or omissions in his/her work.
- ⁵Anyone who offers, promises or gives to a foreign public officer an economic or other benefit, for the benefit of that officer or a third party, to perform an action or incur an omission with a view to obtaining or maintaining, for him/herself or a third party, any business or undue advantage within the scope of any international transaction.

Exception to Bribery: accepting, giving or offering official or protocol-type donations, or those of little economic value as customarily accepted as manifestations of courtesy and good manners. However, this exception does not apply to the crime of bribery or bribery of a foreign public employee when offering, promising, giving or consenting to give to a foreign public official a benefit, toward omitting or executing or for having omitted or executed an act in violation of the duties of his/her office.

e) **Concealment**⁶: Sanctions anyone who, knowing its origin or not being able to help but know it, has in its possession, transports, buys, sells, transforms or commercializes species coming from larceny, theft or misappropriation.

f) **Unfair (disloyal) Administration**⁷: This crime is committed by anyone who, being responsible for the safeguarding or management of the assets of another person, or of any part thereof, by virtue of

⁴ Article 250 of the Chilean Criminal Code
⁵ Article 251 bis of the Chilean Criminal Code
⁶ Article 456 bis A, Chilean Criminal Code
⁷ Article 470 No. 11, Chilean Criminal Code

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the law, an order of the authority or an act or contract, causes harm, either abusively exercising powers to dispose of them or encumber them, whether executing or omitting any other action in a manner manifestly contrary to the interest of the owner of the affected assets.



The criminal liability is greater if the assets entrusted belong to an open stock or special company or corporation, and the administrator who performs any of the behaviors described above, causes harm to the corporate assets or equity; or if it is the estate of a person in relation to whom the subject is guardian, tutor or curator, or of an incapacitated person of whom the subject was in charge of or in some other capacity.

g) Incompatible Negotiation⁸: This crime may be committed, among others, by board members or managers of open stock corporations and other persons subject to duty regulations established for those that -either directly or indirectly- have a stake in any negotiation, action, contract, operation or management involving the company, in breach of the terms and conditions established by the law.

In addition, the aforementioned persons also commit a crime if, given the same circumstances, they partake or stop partaking, called upon to prevent it, their spouse or civil cohabitant, a relative in any straight-line degree or even up to an inclusive third degree of the collateral line, either by consanguinity or affinity.

Likewise, this crime is also constituted if any of the persons listed above, given the same circumstances, partake or stop partaking, called upon to prevent it, to third parties associated with them or with their spouses, cohabitants or relatives as indicated above, manage in any way or form or partake or have an equity stake; which must be greater than 10% if the company is a corporation.

⁸ Article 240 of the Chilean Criminal Code

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- h) Misappropriation⁹: This crime is committed by anyone who, to the detriment of another, appropriates or distracts money, effects or any other movable thing that he/she has received in deposit, commission or administration, or via another title generating the obligation to deliver it or return it.
- i) Water pollution¹⁰: This crime is committed by anyone who, without authorization or in contravention of its terms and conditions or in violation of the applicable regulations, introduces or orders the introduction into the sea, rivers, lakes or any other body of water, chemical, biological or physical pollutants that cause damage to hydrobiological resources. This crime is also committed by anyone who, through recklessness or mere negligence executes the above-described behaviors.
- j) Production and marketing of prohibited hydrobiological products¹¹: Consists of processing, accumulating, transforming, elaborating, transporting, marketing and storing prohibited hydrobiological resources, or products derived from them.
- k) Illegal Fishing¹²: Consists of conducting extractive operations in areas of management and development of benthic resources (living on the aquatic bottoms), without a beneficial interest permit issued via a resolution of the National Fisheries Service.
- l) Production or commercialization of hydrobiological resources in a state of collapse or overexploitation¹³: This crime is committed by anyone who processes, elaborates, stores or commercializes hydrobiological resources that are in a state of collapse or overexploitation, or



⁹ Article 470 No. 1, Chilean Criminal Code

¹⁰ Article 136 of Law No. 18.892, Chilean General Law on Fisheries and Aquaculture

¹¹ Article 139 of Law No. 18.892, Chilean General Law on Fisheries and Aquaculture

¹² Article 139 bis of Law No. 18.892, Chilean General Law on Fisheries and Aquaculture

¹³ Article 139 ter of Law No. 18.892, Chilean General Law on Fisheries and Aquaculture


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products derived from them, without attesting to their legal origin. This crime is also committed by anyone possessing, in any capacity, such resources or products, while being fully aware of their illegal origin.

- m) Ordering a worker to attend work, knowing that he/she is under quarantine or mandatory sanitary isolation as mandated by a health authority¹⁴: Whoever, knowingly and having the authority to arrange the work of subordinates, ordering them to attend the place of performance of their duties when such is other than their domicile or place of residence and when those workers are in quarantine or mandatory sanitary isolation, as mandated by a health authority, shall be punished with minor imprisonment in its minimum to medium degrees and be levied a fine of ten to two hundred (10-200) monthly tax units (UTMs) for each worker so ordered to attend work.
- n) Fraudulent securing of unemployment benefits¹⁵:
1. A crime is committed by anyone who secures a severance benefit or supplement granted pursuant to Law 21,227, without being entitled to it or in a percentage or amount greater than what corresponds, as in the case of a worker or group of workers who receive unemployment insurance despite continuing to provide services for their company, or in the case of workers that receive all or part of their remuneration in addition to the severance benefits provided in case of suspension of their employment relationship, or with supplements in cases of temporary reduction of working hours.
 2. An offence is committed by an employer who facilitates fraudulent procurement, i.e. who submits a request for the payment of severance benefits or supplements for his/her workers not entitled to them; by the person who signs a suspension agreement with those workers who shall continue to work or receive all or part of their remuneration; by the employer who submits a false affidavit



¹⁴ Article 318 Ter of the Chilean Criminal Code

¹⁵ Article 14, Chilean Law N°21.227

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stating the non-existence of a work continuity agreement with workers otherwise securing severance benefits or which is plain false regarding the requirements toward agreeing on a reduction of working hours - which otherwise entitles receiving a supplement.

- o) Third Parties or Suppliers: Any natural or legal person, who provides some type of professional service or support to the benefit of Viña Concha y Toro S.A. and subsidiaries.

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4 POLICY GUIDELINES

4.1 Elements of the Crime Prevention Program.



A Crime Prevention Program is the structured set of organizational elements, policies, programs, procedures and specific behaviors elaborated and adopted to prevent the commission of criminal conduct, as indicated in the Chilean Law N° 20,393.

The elements considered in the Company's Crime Prevention Program are the following:



a. Compliance Officer:

a.1. Appointment: In compliance with article 4 of Chilean Law 20,393, Viña Concha y Toro S.A. and its subsidiaries shall have a Crime Prevention Officer, denominated Compliance Officer, to be appointed by the Company's Board of Directors for a 3-year term of office and whose appointment may be extended for periods of equal duration.



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In cases of temporary absence or incapacity of the Compliance Officer to perform his/her duties, these shall be exercised by a "Surrogate Compliance Officer," who shall be appointed by the Compliance Officer in advance and intently. This surrogation shall cease at the moment when said absence or incapacity ceases to exist. Surrogacy shall be understood to mean "absence" whenever the Compliance Officer is out on leave or in use of his/her legal annual leave. Likewise, "incapacity" shall be understood to mean such occasions when the Compliance Officer should be legally prevented from exercising his/her functions or must refrain from acting for the purpose of ensuring the proper investigation of an event in which he/she may be involved or have a conflict of interest.

a.2. Means: The Compliance Officer, in the exercise of his/her functions, shall be autonomous with respect to the Administration of the company, its owners, companies, shareholders and controllers, which is why his/her performance is accountable and must be reported directly to the company's Board of Directors.

Management shall provide the Compliance Officer with sufficient means and powers to perform his/her duties, meaning that the Compliance Officer shall have an annual budget provided by the General Manager and approved by the Board of Directors, with which he/she may hire the external advice he/she deems necessary to carry out his/her duties and may request the Board of Directors to increase such budget in extraordinary circumstances. The Compliance Officer must account and report annually to the Board of Directors.

a.3. Powers: The Compliance Officer shall be the one who leads the Compliance Office and be responsible for maintaining and conducting the Crime Prevention Program, in order to avoid the commission of illicit acts that may affect the liability of Viña Concha y Toro S.A. and its subsidiaries, pursuant to the terms and conditions provided in Chilean Law N° 20,393. To that effect, he/she shall have direct and unrestricted access to the different areas of the organization, in order to perform or coordinate the execution of the functions that have been entrusted upon them.



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The Compliance Officer's duties and responsibilities shall include:

- i) Supervising the MPD/CPP sanctioned by Chilean Law N° 20,393, adopted by the company and looking after its effective implementation.
- ii) Directing and supervising the identification of activities or processes in whose context the risk of committing crimes punishable by the Chilean Law N° 20,393 may be generated or incremented.
- iii) Supervising and investigating, whenever appropriate, complaints about violations of the Code of Ethics, especially those related to the crimes defined under Chilean Law 20,393.
- iv) Coordinating the review and updating of the MPD/CPP, according to changes of circumstances affecting the company.
- (v) Directing the establishment of specific crime prevention protocols, rules and procedures.
- vi) Aiding and advising the different areas of the company on crime prevention matters.
- vii) Resolving inquiries submitted by collaborators related to any crime prevention situation.
- viii) Training the company's collaborator on matters falling under the scope of Chilean Law 20,393.
- ix) Report his/her management performance to the Board of Directors at least every six months, and to the company's Directors' Committee on a quarterly basis, without prejudice of doing so whenever any particular situation warrants it.

b. Prevention System: The prevention of crimes associated with Chilean Law 20,393, consists of preventive activities; detection; response; supervision, reporting and monitoring, through the execution of various control tasks, on the processes or activities that are exposed to the risks of committing the crimes typified in the Law.

b.1. Communications and Training: In order to ensure that all collaborators are aware of the Crime Prevention Program, the forbidden conduct labeled as criminal by Chilean Law 20.393, the channels of denunciation and consultation, as well as the main rules of system, shall have educational and training programs and resources.

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The program also requires continuous preparation and training for professionals working in the Compliance Office.

b.2. Legal and labor instruments: Within the internal regulations that make up this Prevention System, we have:

- An Annex in the employment contracts establishing the rights and obligations of all company workers.
- An MPD/PPP clause in our contracts with suppliers and customers.
- A Chapter within the Internal Regulations of Order, Hygiene and Safety.
- A Complaint and Investigation Procedure.

b.3. Control Environment: Within the company's permanent internal processes and rules considered fundamental toward maintaining an across-the-board control environment, there is:

- A Code of Ethics and Conduct: A Manual that is grounded on the company's values, to enable consulting about permissible and acceptable corporate behavior, as well as guidelines to enable consulting in case of doubts as how to act.
- A Supplier Code of Conduct: This is a Manual grounded on the company's values, establishing guidelines of permissible and acceptable behavior in the actions of our suppliers, which they must know and accept.
- A Complaints Channel: This is a technological tool that allows workers, suppliers, customers and our stakeholders in general to file anonymous complaints on various matters, which include illicit behavior typified in Law 20,303.
- A Crime Prevention Policy: This Policy is a fundamental part of the control environment, which delivers and presents all the elements of the Crime Prevention Program.

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b.4. Auditing and Monitoring: The company's processes shall be continuously monitored, in order to identify the eventual commission of the crimes typified under Chilean Law 20,393 and thus apply an acceptable level of mitigation control aimed at preventing their actual commission.

b.5. Sanctions: Any infringement of the Crime Prevention Program is susceptible to the sanctions established in the local labor law, including terminating the offender's employment relationship with the company, without prejudice of the eventual criminal and administrative sanctions imposed by law on those who commit such crimes.



c. **Supervision and Certification:** The Crime Prevention Program may be reviewed and audited annually to remedy system imperfections and to adjust its norms and processes in accordance with eventual legal updates, as well as with international best practices.

4.2 Roles and Responsibilities

a. **Board of Directors:** The Board of Directors is responsible for ensuring the correct adoption, execution, administration, updating and monitoring of the MPD/CPP. It is empowered to appoint and revoke the Compliance Officer's mandate, pursuant to the provisions under point 4.1 of this policy. It is also empowered to determine the means and powers to be bestowed upon the Compliance Officer's mandate.

Likewise, the Board of Directors shall be responsible for:

- Providing the means and resources necessary for the Compliance Officer to fulfill his/her roles and responsibilities.
- Approving this crime prevention policy and its corresponding updates.
- Receiving and evaluating the Compliance Officer's reports, at least semi-annually.
- Approving the planning proposal for the following period.

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- Identifying those activities and processes risking committing crimes against Chilean Law 20,393, as well as establishing strategies toward mitigating and tolerating such risks.
- Approving rules aimed at preventing the commission of such crimes.
- Informing the Compliance Officer about any observed situation related to the non-compliance of Chilean Law 20,393 and of MPD/CPP steps.

The Board of Directors or the Management Organ of each national and foreign subsidiary must ratify the Compliance Officer to become the Prevention Officer of said subsidiary and be empowered with the same functions and duration set forth hereunder.

b. Compliance Officer: The Compliance Officer is hereby mandated to exercise his/her functions pursuant to the provisions of Chilean Law N° 20,393, consistent with the appointment of this position by the Board of Directors of Viña Concha y Toro S.A. The Compliance Officer shall, consequently, exercise his/her functions in accordance with the functions established in number 4.1 hereunder, as approved by the Board of Directors.

c. Ethics Committee: It is the responsibility of the Ethics Committee to ensure compliance with the principles and commitments contained in the company's Code of Ethics and Conduct, as well as to hear the complaints filed in foreign subsidiaries and to resolve the complaints investigated in the national subsidiaries. This Committee is also responsible for adopting the corrective measures recommended to Managers regarding those cases that would have been subjected to review or investigation, including the sanctions to be levied against the respective perpetrators.

d. Manager's offices: It is the responsibility of the respective Manager's office to support the Compliance Officer or whomever he/she designates, ensuring his/her unrestricted access to information and persons, as well as to the coordinating activities of the Crime Prevention Program in

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the required areas. Likewise, it shall be incumbent upon them to inform the Compliance Officer of any situation observed by them in relation to the non-compliance of Chilean Law N° 20,393 and of the procedures related to the Crime Prevention Program.

e. All workers, consultants and suppliers: It is the responsibility of every company worker and supplier to comply with the provisions of this Policy and of the Crime Prevention Program of Viña Concha y Toro S.A. and its subsidiaries, as well as to inform -through the established channels- of situations that could go against what is indicated herein.

4.3 Support areas

- a. Internal control
- b. Internal audit
- c. Human resources management
- d. Finance
- e. Prosecution
- f. Information technology (IT)

5 POLICY APPROVALS

This Policy has been approved by all members of the Board of Directors, at its meeting held on August 26, 2021, duly executed by the Compliance Officer and the Chief Financial Officer and Corporate Affairs.


In case of discrepancies between the English and the Spanish text of this policy, the Spanish text will prevail.



OSVALDO SOLAR VENEGAS
 Chief Financial Officer and
 Corporate Affairs



ENRIQUE ORTUZAR VERGARA
 Compliance Officer and Counsel

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* VERSION 1.0 26-08-2021

Initial Version

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Reviewed by: Enrique Ortuzar, Compliance Officer

Approved by: Board of Directors