

## REPORT ON COMPLIANCE WITH THE GOOD CORPORATE GOVERNANCE CODE FOR PERUVIAN COMPANIES (10150)

Name:

RIMAC SEGUROS Y REASEGUROS

Fiscal Year

2020

Website:

www.rimac.com

Name or company name of the reviewing company: (1)

RPJ

380037

(1) It is only applicable in the event in which the information contained in this report has been reviewed by a specialized company (for example: audit firm or consulting firm).

## SECTION B:

### Evaluation of compliance with the Principles of the Code of Good Corporate Governance for Peruvian Corporations

#### Pillar I: Shareholders' Law

##### Principle 1: Parity of Treatment

###### Question I.1

	Yes	No	explanation:
<i>Does the company recognize in its actions equal treatment of shareholders of the same class and who maintain the same conditions (*)?</i>	X		Article 12 of the Statute

(\*) The same conditions are those characteristics that distinguish shareholders or make them have a common characteristic, in their relationship with society (institutional investors, non-controlling investors, etc.). This should, in no way, be considered to imply that the use of insider information is favored.

###### Question I.2

	Yes	No	explanation:
<i>Does the company only promote the existence of classes of shares with voting rights?</i>	X		Article 5 of the Statute Our statute only includes one type of stock and we do not have investment shares

a. Regarding the capital of the company, specify:

Capital subscribed at year-end	Capital paid at year-end	Total number of shares representing capital	Number of voting shares
1,471,000,000	1,471,000,000.00	1,471,000,000.00	1,471,000,000

b. If the company has more than one class of shares, specify:

Class	Number of shares	Nominal value	Rights (*)

(\*) In this field, the particular rights of the class that distinguish it from the others must be indicated.

###### Question I.3

	Yes	No	Explanation:
<i>If the company has investment shares, does the company promote a policy of redemption or voluntary exchange of investment shares for ordinary shares?</i>		X	The Statute of our company does not provide for the existence of investment shares. In this regard, we would not be able to promote the share described in this question. The General Shareholders' Meeting - the body that approved the Statute at the time - was the one that gave rise to our internal share regime.

## Principle 2: Shareholder participation

### Question I.4

	Yes	No	Explanation:
<i>a. Does the company establish in its corporate documents the form of representation of the shares and the person responsible for the registration in the registration of shares?</i>	X		Article 8 of the Statute
<i>b. Is the share registration continuously updated?</i>	X		Article 8 of the Statute

After becoming aware of any changes, indicate the frequency the share registration is updated.

Frequency:	Within forty-eight hours	
	Weekly	X
	Other / Detail (in days)	

**Principle 3: No dilution of equity participation****Question I.5**

	Yes	No	Explanation:
a. Does the company have as its policy that the Board's proposals concerning corporate operations that may affect the right of non-dilution of shareholders (i.e., mergers, spin-offs, capital extensions, among others) are previously explained by that body in a detailed report with the independent opinion of an external advisor of recognized professional solvency appointed by the Board of Directors?	X		Article 29 of the Board Regulations
b. Does the company have the policy of making these reports available to shareholders?	X		Article 29 of the Board Regulations

If, during the fiscal year, corporate operations occurred in the company under the scope of section a) of question I.5, and if the company has Independent Directors (\*), specify in all cases:

	Yes	No
Was there a favorable vote of all the Independent Directors for the appointment of external advisors?		
Did all Independent Directors clearly express their acceptance of the aforementioned report and supported, if applicable, the reasons for their disagreement?		

(\*) Independent Directors are those who, according to the Guidelines for the Qualification of Independent Directors, approved by the SMV, qualifies as such.

## Principle 4: Information and communication to shareholders

### Question I.6

	Yes	No	Explanation:
<i>Does the company determine those responsible or means for shareholders to receive and require timely, reliable, and accurate information?</i>	X		Chapter 3, Articles 11 and 12 of the General Shareholders' Meeting Regulations

a. Indicate the means, by which, shareholders receive and/or request information from the company.

Media	Receive Information	Request information
Email	X	X
By phone	X	X
Corporate website	X	X
Postal mail	X	X
Briefings	X	X
Others / Detail	Directly to the company	

b. Does the company have a maximum time limit for responding to requests for information submitted by shareholders? If so, specify that period:

Maximum timeframe (days)	10
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### Question I.7

	Yes	No	Explanation:
<i>Does the company have mechanisms for shareholders to express their opinion on its development?</i>	X		Art. 10, Art. 13, Art. 21 and Art. 23 of the General Shareholders' Meeting Regulations. Article 29 of the Board regulations.

If the answer is Yes, detail the mechanisms established by the company for shareholders to express their opinion on its development.

The General Shareholders' Meeting Regulations provide the following mechanisms: (i) Inclusion of items in the Agenda of the General Shareholders' Meeting, (ii) Delivery of information from the Agenda prior to the development of the General Shareholders' Meeting, (iii) Corporate publication of the Call for the Board and the accompanying documentation on the Company's Website (iv) Guidance during the debate held during The General Shareholders' Meeting, (v) Right to request a Certified Copy.

## Principle 5: Participation in the Company's dividends

### Question I.8

	Yes	No	Explanation:
a. Is compliance with the dividend policy subject to defined periodic assessments?	X		An annual review is conducted on the compliance with the policy so that dividends can be distributed
b. Is the dividend policy made known to shareholders through your corporate website?	X		<a href="http://www.rimac.com/uploads/Politica_de_Dividen two.pdf">http://www.rimac.com/uploads/Politica_de_Dividen two.pdf</a>

- a. Please indicate the company's dividend policy applicable to the fiscal year.

Approval Date	19/03/2013
Dividend policy (criteria for the distribution of profits)	The company will distribute annual cash dividends for an amount not less than the equivalent of fourteen percent (14%) of the available profit for the fiscal year, after the deduction of taxes, reserves, and legal costs. When the factors of liquidity, level of indebtedness, and projected investments, thus justify it, the Shareholders' Meeting may agree on a different percentage or opportunity to distribute dividends.

- b. Indicate the dividends, in cash and shares, distributed by the company in the fiscal year and the previous fiscal year.

	Dividends per share			
	Reported Exercise		Fiscal year prior to reporting	
	Cash	Stocks	Cash	Stocks
By share				
Class	0	8.39	3.59	3.82
Class				
Investment Action				

## Principle 6: Change or takeover

### Question I.9

	Yes	No	explanation:
<i>Does the company have policies or agreements not to adopt anti-takeover mechanisms?</i>		X	The Company does not have policies or agreements to adopt anti-takeover mechanisms.

Indicate if your company has established any of the following measures:

	Yes	No
Requirement of a minimum number of shares to be a Director		X
Minimum number of years as Director to be appointed as President of the Board		X
Compensation agreements for executives/officials because of changes following a takeover bid.		X
Others of a similar nature/ Detail		

## Principle 7: Dispute Settlement Arbitration

### Question I.10

	Yes	No	Explanation:
<i>a. Does the company's bylaws include an arbitration agreement acknowledging that any dispute between shareholders, or between shareholders and the Board, is submitted to arbitration by law; as well as the challenge of the General Shareholder's Meeting and Board agreements by the Company's shareholders?</i>	X		Article 31 of the General Shareholders' Meeting Regulations.
<i>b. Does this clause make it easier for an independent third party to resolve disputes, except in the case of express legal reservation before ordinary justice?</i>	X		Article 31 of the General Shareholders' Meeting Regulations.

If GSM (*General Shareholders' Meeting*) and Board agreements have been challenged by shareholders or others involving the company, during the fiscal year, indicate the number of times.

Number of challenges to GSM agreements	0
Number of challenges to Board agreements	0



## Pillar II: General Shareholders' Meeting

### Principle 8: Function and competence

#### Question II.1

	Yes	No	Explanation:
<i>Is the approval of the Board's remuneration policy an exclusive and non-delegable function of the GSM?</i>	X		Article 16 paragraph 3 of the Bylaws and Art. 6 of the General Shareholders' Meeting Rules

Indicate if the following functions are exclusive to the GSM, if the response is negative, specify the body exercising them.

	Yes	No	Body
Arrange special investigations and audits		X	Board of Directors
Agree to amend a Statute	X		
Agree to increase share capital	X		
Agree to the distribution of interim dividends	X		
Appoint external auditors	X		Delegated to the Board of Directors by the General Meeting of Shareholders

**Principle 9: General Shareholders' Meeting Rules****Question II.2**

	Yes	No	explanation:
<i>Does the company have a GSM Regulation, which is binding, and its non-compliance carries liability?</i>	X		Article 1 of the General Shareholders' Meeting Regulations

If you have a GSM Regulation, please specify whether it establishes procedures for:

	Yes	No
Board Calls	X	
Incorporation of Shareholder agenda items	X	
Providing additional information to shareholders for the Boards	X	
The development of the Boards	X	
The appointment of Board members	X	
Other relevant/Detail		

## Principle 10: Convening mechanisms

### Question II.3

	Yes	No	Explanation:
In addition to the convening mechanisms established by law, does the company have convening mechanisms that allow contact with shareholders, particularly those who do not have participation in the control or management of the company?	X		Article 8 of the General Shareholders' Meeting Regulations

a. Complete the following information for each of the Boards held during the fiscal year:

Notification Date	Board Date	Board Location	Board Type	Universal Board		Quorum %	Total Attendees	Participation (%) of the total shares with voting rights (%)		
			General	Yes	No			By power of attorney	Direct exercise (*)	He did not exercise his right to vote
28/04/2020	26/05/2020	The Begonias 475, 3 <sup>rd</sup> Floor	X		X	88.47		99.58	0.42	0

(\*) The direct exercise includes voting by any means or modality that does not involve representation.

b. What means, in addition to those contemplated in Article 43 of the General Corporations Law and the provisions of the Regulation on Material Facts and Proprietary Information, did the Company use to disseminate the notices of the Meetings during the fiscal year?

Email		Postal mail	
By phone		Social Media	
Corporate website	X	Others / Detail	

### Question II.4

	Yes	No	Explanation:
Does the company make available to shareholders all information relating to items on the GSM agenda and proposals for agreements to be adopted (motions)?	X		General Shareholders' Meeting Regulations (Art. 11, 12, and 13)

In the notices of meetings made by the company during the fiscal year:

	Yes	No
Was the location of the information regarding the agenda items to be discussed at the meetings specified?	X	
Were "other items", "miscellaneous items" or similar included as agenda items?		X

## Principle 11: Proposals for agenda items

### Question II.5

	Yes	No	Explanation:
<i>Does the GSM Regulation include mechanisms that allow shareholders to exercise the right to make proposals for agenda items to be discussed in the GSM and the procedures for accepting or denying such proposals?</i>	X		General Shareholders' Meeting Regulations (Art.10)

a. Indicate the number of applications submitted by shareholders during the fiscal year to include agenda items to be discussed in the GSM, and how they were resolved:

Number of applications		
Received	Accepted	Denied
0	0	0

b. If requests to include agenda items to be discussed at the GSM have been denied during the fiscal year, indicate whether the company communicated the basis for the denial to the requesting shareholders.

Yes ☐

No ☐

## Principle 12: Voting Procedures

### Question II.6

	Yes	No	Explanation:
Does the company have mechanisms in place that allow shareholders to vote remotely by secure, electronic, or postal means, which guarantee that the person casting the vote is effectively the shareholder?	X		Article 18 of the Statute

a. If so, indicate the mechanisms or means that the company has for remote voting.

E-mail voting	X	Vote by postal mail	
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b. If remote voting has been used during the fiscal year, please provide the following information:

Board Date	% remote voting				% vote remote / total
	Email	Corporate website	Postal mail	Other	
26/05/2020				0.3512	0.3512

### Question II.7

	Yes	No	Explanation:
Does the company have corporate documents that clearly specify that shareholders can vote separately on matters that are substantially independent so that they can separately exercise their voting preferences?	X		Article 23 of the General Shareholders' Meeting Regulations and Annex 3 of the General Shareholders' Meeting Regulations

Indicate if the company has corporate documents that clearly specify that shareholders can vote separately for:

	Yes	No
The appointment or ratification of directors by individual vote for each of them.	X	
The amendment of the Statute, for each article or group of articles that are substantially independent.	X	
Others/Detail		

### Question II.8

	Yes	No	Explanation:
Does the company allow those who act on behalf of several shareholders to cast differentiated votes for each shareholder, so that they comply with the instructions of each represented?	X		Article 23 of the General Shareholders' Meeting Rules Annex 3 to the General Shareholders' Meeting Regulations

### Principle 13: Vote Delegation

#### Question II. 9

	Yes	No	Explanation:
<i>Does the Company's Statute allow its shareholders to delegate their vote to anyone?</i>	X		Article 15 of the General Shareholders' Meeting Rules

If your response is no, indicate if your Statute restricts the right of representation, in favor of any of the following persons:

	Yes	No
From another shareholder		
From a Director		
From a Manager		

#### Question II.10

	Yes	No	Explanation:
<i>a. Does the company have procedures detailing the conditions, means, and formalities to be fulfilled in voting delegation situations?</i>	X		Article 21 of the Statute. Article 15 of the General Shareholders' Meeting Rules
<i>b. Does the company make available to shareholders, a model letter of representation, which includes the data of the representatives, the topics for which the shareholder delegates his vote, and, if applicable, the meaning of his vote for each of the proposals?</i>	X		Annex 3 to the General Shareholders' Meeting Regulations

Indicate the requirements and formalities required for a shareholder to be represented on a Board:

Formality (indicate if the company requires a simple letter, notarized letter, public deed, or other).	
Anticipation (number of days prior to the Meeting with which the proxy must be submitted).	
Cost (indicate whether there is a payment required by the company for these purposes and how much it equals).	

#### Question II.11

	Yes	No	Explanation:
<i>a. Does the company have a policy setting limitations on the percentage of delegation of votes in favor of board members or senior management?</i>		X	There is no policy like the one indicated; the will of the shareholder is accepted.
<i>b. In cases of delegation of votes in favor of members of the Board of Directors or Senior Management, does the company have a policy that shareholders who delegate their votes clearly establish the meaning of these?</i>	X		Annex 3 to the General Shareholders' Meeting Regulations

**Principle 14: Follow-up of GSM agreements****Question II.12**

	Yes	No	explanation:
<i>a. Does the company monitor the agreements adopted by the GSM?</i>	X		Board Records and Organization and Functions Manual of the Legal Division and Corporate Affairs
<i>b. Does the company issue periodic reports to the Board and are they made available to shareholders?</i>	X		The company issues monthly reports to the Board - Board Acts The company reports monthly and quarterly reports to the SMV, being available to the market and shareholders.

If applicable, indicate the area and/or person responsible for monitoring the agreements adopted by the GSM. If a person is in charge, also include his/her position and department in which he/she works.

Department in charge	Legal Division and Corporate Affairs
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Person in charge		
First / Last Name	Position	Department
Alex Fort Brescia	Chairman of the Board	

## Pillar III: BOARD OF DIRECTORS AND SENIOR MANAGEMENT

### Principle 15: Board of Directors

#### Question III.1

	Yes	No	Explanation:
<i>Is the Board of Directors made up of people with different specialties and competencies, with prestige, ethics, economic independence, sufficient availability, and other qualities relevant to the company, so that there is a plurality of approaches and opinions?</i>	X		Article 2 of the Board Regulations

a. Enter the following information for the members of the Company Board during the fiscal year.

First and Last Name	Professional Training (*)	Date		Shareholders Equity (****)	
		Start (**)	End (***)	# Shares	Part. (%)
Directors (not including independents)					
Alex Fort Brescia		07/05/1993			
Pedro Brescia Moreyra		12/02/1998			
Mario Brescia Moreyra		26/12/1995			
Bernardo Fort Brescia		28/03/2005			
Fortunato Brescia Moreyra		07/02/1997			
Jaime Araoz Medanic		22/03/2016			
Independent Directors					
Alfonso Brazzini Diaz-Ufano		11/03/1993			
Ricardo Cilloniz Champin		01/04/1979			
Ismael Benavides Ferreyros		27/03/2019			
Robert Damian Priday		26/03/2019			
Carlos Kubick Castro		26/05/2020			

(\*) In addition, state whether the Director participates simultaneously in other Boards, specifying the number and whether they are part of the economic group of the reporting company. For this purpose, the definition of economic group contained in the Regulation on Indirect Ownership, Linkage and Economic Groups should be considered.

(\*\*) Corresponds to the first appointment in the reporting company.

(\*\*\*) To be completed only if he/she has ceased to hold the office of Director during the fiscal year.

(\*\*\*\*) Applicable only to Directors with shareholding in the capital stock equal to or greater than 5% of the shares of the reporting company.

% of total shares held by Directors	0
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Enter the number of Company Directors in each of the following age ranges:

Less than 35	35 to 55	Between 55 and 65	Greater than 65
0	0	2	9



b. Indicate if there are specific requirements to be appointed Chairman of the Board, in addition to those required to be appointed Director.

Yes

☐

No

☒

If yes, please indicate requirements.

c. Does the Chairman of the Board have a casting vote?

Yes

☒

No

☐

**Question III.2**

	Yes	No	Explanation:
<i>Does the company avoid appointing deputy or alternate directors, especially for quorum reasons?</i>		X	Article 29 of the Statute. Article 80 of Law No. 26702

If you have deputy or alternate Directors, specify the following:

First and Last Names of the deputy or alternate Director	Start (*)	End (**)
Miguel Angel Salmon Jacobs	22/03/2016	
Fernando Jose Alegre Basurco	28/03/2017	10/09/2020

(\*) Corresponds to the first appointment as Deputy or Alternate Director in the reporting company.

(\*\*) To be completed only if the Deputy or Alternate Director has left the position during the fiscal year.

## Principle 16: Board Functions

### Question III.4

	Yes	No	Explanation:
<i>Does the Board of Directors have the function to: Approve and direct the corporate strategy of the company.</i>	X		Article 37 of the Statute. Article 15 of the Board Regulations
<i>a. Establish objectives, goals, and action plans including annual budgets and business plans.</i>	X		Article 37 of the Statute. Article 15 of the Board Regulations
<i>b. Control and supervise the management and administration of the company.</i>	X		Article 37 of the Statute. Article 15 of the Board Regulations
<i>c. Oversee good corporate governance practices and establish the policies and measures necessary for best implementation.</i>	X		Article 37 of the Statute. Article 15 of the Board Regulations

- a. Detail any other relevant powers vested in the Board of Directors.

To elect the President and Vice President, to regulate its own functioning, to accept the resignation of its members and to fill vacancies they produce in the cases provided for in the Bylaws and the law; to delegate, in one or more of its members or in officers of the corporation, the exercise of certain powers or to entrust them with certain matters for that purpose it may confer general or special, individual or joint powers of attorney; Appoint managers, assistant managers and attorneys-in-fact of the company and determine their obligations and remuneration, remove them or revoke their powers and faculties, call general shareholders' meetings and execute the resolutions adopted, prepare the annual report, the balance sheet, the profit and loss account and any other financial statement or document legally required, among others.

- b. Does the Board delegate any of its functions?

Yes

☒

No

☐

Please indicate, if applicable, the main functions of the Board which have been delegated, and the body exercising them by delegation:

Functions	Body/Department to which functions have been delegated
Approval of Manuals, Procedures, Policies, and other internal rules.	Comprehensive Risk Management Committee

## Principle 17: Duties and rights of the members of the Board of Directors

### Question III.5

	Yes	No	Explanation:
Are the members of the Board of Directors entitled to? <i>a. Ask the Board of Directors for expert support or input.</i>	X		Article 6 of the Board Regulations
<i>b. To participate in induction programs about their powers and responsibilities and to be informed in a timely manner about the organizational structure of the corporation.</i>	X		Article 32 of the Board Regulations
<i>c. To receive remuneration for the work performed, which combines the recognition of professional experience and dedication to the organization with a criterion of rationality.</i>	X		Art. 13 of the Regulations of the Board of Directors Art. 38 of the Bylaws

a. If specialized advisors have been hired during the fiscal year, indicate if the list of specialized Board advisers who have provided services during the company's decision-making exercise was made known to shareholders.

Yes ☐ No ☐

If applicable, please specify if any of the specialized advisors had any relations to any member of the Board and/or Senior Management (\*).

Yes ☐ No ☐

(\*) For the purposes of the linkage assessment, the linkage criteria contained in the Regulation on Indirect Ownership, Linkage and Economic Groups will be applied.

b. If so, indicate if the company carried out induction programs for new members who had entered the company.

Yes ☒ No ☐

c. Indicate the percentage representing the total amount of Directors' annual remuneration and bonuses, relative to gross income, according to the company's financial statements.

Fees	(%) Gross Income	Bonuses	(%) Gross Income
Directors (not including independent)	0.0268	Delivery of Shares	
Independent Directors	0.027	Delivery of Options	
		Delivery of Cash	
		Other (detail)	

## Principle 18: Board of Directors Regulations

### Question III.6

	Yes	No	Explanation:
<i>Does the company have a Board of Directors' Regulation that is binding and non-compliance includes liability?</i>	X		Article 34 of the Board Regulations

Indicate whether the Board of Directors Regulations contains:

	Yes	No
Policies and procedures for its operation	X	
The organizational structure of the Board of Directors	X	
Roles and responsibilities of the Chairman of the Board	X	
Procedures for identifying, evaluating, and nominating candidates for Board members who are proposed to the GSM	X	
Procedures for vacancies, cessation, and succession of Board of Directors	X	
Others / Detail		

**Principle 19: Independent Directors****Question III.7**

	Yes	No	Explanation:
<i>At least one-third of the Board of Directors is made up of Independent Directors?</i>	X		The Board of Directors has five Independent Directors

In addition, to those established in the "Guidelines for the Qualification of Independent Directors", the company has established the following criteria to qualify its Directors as independent:

The Company applies the criteria set out in the approved Corporate Governance and Integral Risk Management Regulations

**Question III.8**

	Yes	No	Explanation:
<i>a. Does the Board declare that the candidate it proposes is independent based on the inquiries it conducts and the candidate's statement?</i>	X		Article 2 of the Board Regulations
<i>b. Do candidates for Independent Directors declare their status as independent to the company, its shareholders, and directors?</i>	X		For the 2019 fiscal year, the Company has used an Affidavit of Independence, in a format drawn from the applicable criteria for the determination of the independent director of the Superintendent of Banking,

Indicate if at least once a year the Board verifies that Independent Directors maintain compliance with the requirements and conditions in order to be qualified as such.

Yes ☐No ☐

## Principle 20: Board of Directors Operations

### Question III.9

	Yes	No	explanation:
<i>Does the Board of Directors have a work plan that contributes to the efficiency of its functions?</i>	X		Regular monthly analysis topics are scheduled. In addition, there is a schedule of regulatory issues.

### Question III.10

	Yes	No	explanation:
<i>Does the company provide its Directors with the channels and procedures necessary to be able to participate effectively in board sessions, including in a non-face-to-face manner?</i>	X		Article 24 of the Board of Procedure. Art. 34th Statute

- a. Indicate in relation to the Board of Director sessions developed during the fiscal year, the following:

Number of sessions held	12
Number of meetings at which no meeting notice was given (*)	0
Number of sessions in which the Chairman of the Board did not attend	0
Number of sessions in which one or more Directors were represented by Directors deputies or alternates	0
Number of Incumbent Directors who were represented at least once	1

(\*) In this field, the number of sessions held under the last paragraph of Article 167 of the General Corporations Law (LGS) shall be reported.

- b. Indicate the percentage of Directors' attendance at Board sessions during the fiscal year.

Name	% of attendance
Alex Fort Brescia	100
Pedro Brescia Moreyra	100
Mario Brescia Moreyra	100
Bernardo Fort Brescia	100
Fortunato Brescia Moreyra	100
Jaime Araoz Medanic	100
Alfonso Brazzini Diaz-Ufano	100
Ricardo Cilloniz Champin	83.33
Ismael Benavides Ferreyros	100
Robert Damian Priday	100
Carlos Kubick Castro	66.66

- c. Indicate how far in advance of the Board of Directors Meeting that all information regarding the issues to be discussed in a meeting is available to Directors.

	Less than 3 days	3 to 5 days	Greater than 5 days
Non-confidential information		X	
Confidential information		X	

**Question III.11**

	Yes	No	Explanation:
<i>a. Does the Board of Directors evaluate, at least once a year, in an objective manner, its performance as a collegiate body and that of its members?</i>	X		Article 27 of the Board Regulations
<i>b. Is the methodology of self-assessment alternated with the evaluation carried out by external advisors?</i>	X		Article 27 of the Board Regulations



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- a. Indicate if Board performance assessments have been conducted during the period.

	Yes	No
As a collegiate body		X
To its members		X

If the answer to the above question in any of the fields is yes, please provide the following information for each evaluation:

Evaluation	Self-evaluation		External evaluation		
	Date	Dissemination (*)	Date	Entity in Charge	Dissemination (*)

(\*) Indicate Yes or No if the evaluation was made known to shareholders.

## Principle 21: Special Committees

### Question III.12

	Yes	No	Explanation:
<i>Does the company's Board of Directors set up special committees that focus on the analysis of those aspects most relevant to the company's performance?</i>	X		Article 26 of the Board Regulations
<i>b. Does the Board of Directors approve the bylaws governing each of the special committees it sets up?</i>	X		Article 26 of the Board Regulations
<i>c. Are special committees chaired by Independent Directors?</i>		X	The Audit Committee is chaired by an Independent Director. The other Committees, while not chaired by an Independent Director, have the participation of an independent Director, in order to have a vision and opinion that allows the exchange of different views.
<i>d. Are special committees assigned a budget?</i>	X		In the general budget of the company, there is a budget designated for the operation and external advisory services that may be required.

### Question III.13

	Yes	No	Explanation:
<i>Does the company have an Appointments and Remuneration Committee that is responsible for nominating candidates to the Board of Directors, who are proposed to the GSM by the Board of Directors, as well as for approving the compensation and incentives for senior management?</i>	X		Paragraph III of the Regulations of the Talent and Remuneration Committee.

### Question III.14

	Yes	No	Explanation:
<i>Does the company have an Audit Committee that oversees the effectiveness and adequacy of the company's internal and external control system, the work of the audit firm or independent auditor, as well as compliance with legal and professional independence standards?</i>	X		Audit Committee Rules

a. Specify if the company also has the following Special Committees:

	Yes	No
Risk Committee	X	
Corporate Governance Committee		X

b. If the company has Special Committees, provide the following information for each committee:

COMMITTEE 1	
Committee Name:	Audit Committee
Date created:	10/07/2000

Main functions:	<p>Monitor the proper functioning of the internal control system. To inform the Board of Directors about the existence of limitations in the reliability of the accounting and financial processes, to monitor and keep the Board of Directors informed about compliance with internal policies and procedures and the detection of internal control and management problems, as well as the corrective measures implemented based on the evaluations made by the Internal Audit Unit, External Audit and regulatory entities.</p> <p>Define the criteria for the selection and hiring of external auditors, evaluate their performance as well as determine the supplementary reports required for the best performance of their functions or compliance with legal requirements, except in those cases in which the audit committee of the parent company defines the criteria for the selection, hiring and evaluation of external auditors, among others.</p>
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Committee members (*): First and last names	Date		Position within the Committee
	Start (**)	End (***)	
Alfonso Brazzini Diaz-Ufano	23/04/2019	20/10/2020	President
Fernando Alegre Basurco	30/01/2018	20/10/2020	Member
Pedro Brescia Moreyra	28/03/2017		Member
Carlos Kubick Castro	20/10/2020		President
Jaime Araoz Medanic	20/10/2020		Member
% Independent Directors of the committee's total			33.3
Number of sessions held during the period:			
It has delegated powers in accordance with article 174 of the Corporate General Law:			Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
The committee or its chairman participates in the GSM			Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

(\*) Information will be provided regarding the persons who make up or joined the Committee during the reporting period.

(\*\*) It corresponds to the first appointment as a member of the Committee in the reporting company.

(\*\*\*) Complete only if you had ceased to be part of the Committee during the exercise.

COMMITTEE 2	
Committee Name:	Risk Committee
Date created:	31/01/2013
Main functions:	Approve the organization, objectives, guidelines, policies, incentive systems and adequate procedures for comprehensive risk management in accordance with the nature, size and complexity of the Company's operations and services, as well as any changes thereto; Approve manuals for the management of operational, technical, market and credit risks, including the methodologies to identify, measure, treat, control and report such risks, as well as any possible modifications thereto; Approve reports on risks associated with new products and the proposed or implemented treatment measures, prior to their launching, including market conduct aspects; Approve reports on risks associated with significant changes in the business, operating or IT environment, prior to their execution, as well as the proposed or implemented treatment measures, among others described in the Committee's Regulations.

Committee members (*): First and last names	Date		Position within the Committee
	Start (**)	End (***)	
Pedro Brescia Moreyra	28/03/2017		President
Fernando Alegre Basurco	30/01/2018	20/10/2020	Member
Alfonso Brazzini Diaz-Ufano	23/04/2019	20/10/2020	Member
Carlos Kubick Castro	20/10/2020		Member
Jaime Araoz Medanic	20/10/2020		Member
% Independent Directors of the committee's total			33.3
Number of sessions held during the period:			
It has delegated powers in accordance with article 174 of the General Corporations Law:			Yes <input type="checkbox"/> No <input type="checkbox"/>
The committee or its chairman participates in the GSM			Yes <input type="checkbox"/> No <input type="checkbox"/>

(\*) Information will be provided regarding the persons who make up or joined the Committee during the reporting period.

(\*\*) It corresponds to the first appointment as a member of the Committee in the reporting company.

(\*\*\*) Complete only if you have ceased to be a member of the Committee during the fiscal year.

COMMITTEE 3
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Committee Name:	Talent and Remuneration Committee
Date created:	13/12/2016
Main functions:	a) Propose to the Board of Directors the compensation system and its modifications. The remuneration of the Board of Directors must be approved by the General Shareholders' Meeting. b) Analyze the proposals for modification of the remuneration system and designate the person in charge of verifying compliance with the application of this system. c) Evaluate potential conflicts of interest in the compensation system and propose solutions. c) Define the goals and indicators considered in the remuneration system.

Committee members (*): First and last names	Date		Position within the Committee
	Start (**)	End (***)	
Alex Fort Brescia	13/12/2016		President
Robert Damian Priday	23/04/2019		Member
Jaime Araoz Medanic	13/12/2016		Member
% Independent Directors of the committee's total			33.3
Number of sessions held during the period:			2
It has delegated powers in accordance with article 174 of the General Corporations Law:			Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
The committee or its chairman participates in the GSM			Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

(\*) Information will be provided regarding the persons who make up or joined the Committee during the reporting period.

(\*\*) It corresponds to the first appointment as a member of the Committee in the reporting Company.

(\*\*\*) Complete only if you had ceased to be part of the Committee during the exercise.

COMMITTEE 4	
Committee Name:	
Date created:	
Main functions:	

Committee members (*): First and last names	Date		Position within the Committee
	Start (**)	End (***)	
% Independent Directors of the committee's total			
Number of sessions held during the period:			
It has delegated powers in accordance with article 174 of the General Corporations Law:			Yes <input type="checkbox"/> No <input type="checkbox"/>
The committee or its chairman participates in the GSM			Yes <input type="checkbox"/> No <input type="checkbox"/>

(\*) Information will be provided regarding the persons who make up or joined the Committee during the reporting period.

(\*\*) It corresponds to the first appointment as a member of the Committee in the reporting Company.

(\*\*\*) Complete only if you had ceased to be part of the Committee during the exercise.

COMMITTEE 5	
Committee Name:	
Date created:	
Main functions:	

Committee Members (*):	Date	
------------------------	------	--

First and last names	Start (**)	End (***)	Position within the Committee
% Independent Directors of the committee's total			
Number of sessions held during the period:			
It has delegated powers in accordance with article 174 of the General Corporations Law:			Yes <input type="checkbox"/> No <input type="checkbox"/>
The committee or its chairman participates in the GSM			Yes <input type="checkbox"/> No <input type="checkbox"/>

(\*) Information will be provided regarding the persons who make up or joined the Committee during the reporting period.

(\*\*) It corresponds to the first appointment as a member of the Committee in the reporting Company.

(\*\*\*) Complete only if you had ceased to be part of the Committee during the exercise.

## Principle 22: Code of Ethics and Conflicts of Interest

### Question III.15

	Yes	No	Explanation:
Does the company take steps to prevent, detect, manage, and disclose conflicts of interest that may arise?	X		Paragraph 2.4 of the RIMAC Code of Conduct

Please indicate, if applicable, what department and/or person is responsible for monitoring and controlling potential conflicts of interest. If a person is in charge, additionally include the position and department in which he/she works.

Responsible Department	Human Development and Management
------------------------	----------------------------------

Person in charge		
First and Last Names	Position	Department

### Question III.16 / Compliance

	Yes	No	explanation:
a. Does the company have a Code of Ethics (*), compliance with which is required of its Directors, managers, officers, and other employees (**) of the company, which includes ethical criteria and professional accountability, including the management of potential conflicts of interest?	X		Paragraph III of the Code of Conduct
b. Does the Board of Directors or the General Management approve training programs for compliance with the Code of Ethics?	X		Regulatory courses, Inductions to new employees, training to risk areas, etc.

(\*) The Code of Ethics may be part of the Internal Rules of Conduct.

(\*\*) The term "employees" includes all persons who have any type of employment relationship with the company, regardless of the employment regime or type of employment.

If the company has a Code of Ethics, indicate the following:

a. It is available to:

	Yes	No
Shareholders	X	
Other persons to whom it is applicable	X	
The General Public	X	

b. Indicate the department and/or person responsible for monitoring and complying with the Code of Ethics. If a person is in charge, additionally include his/her position, the department in which he/she works, and to whom he/she reports.

Department in charge	Compliance Committee
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Person in charge			
First and Last Names	Position	Department	Person reports to

c. Is there a record of cases of non-compliance with this Code?

Yes ☒ No ☐

d. Please indicate the number of non-compliance events with the provisions set out in that Code, detected, or reported during the fiscal year.



Number of events	3
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**Question III.17**

	Yes	No	Explanation:
<i>a. Does the company have mechanisms that allow for the reporting of any illegal or unethical behavior, guaranteeing the confidentiality of the whistleblower?</i>	X		The company has an integrity channel managed by EY (Item 3 of the Code of Conduct).
<i>b. Are complaints presented directly to the Audit Committee when they are related to accounting issues or when the General Management or the Financial Management are involved?</i>		X	Complaints or declarations of conflict of interest received by the integrity channel or the human resources area, respectively, are resolved by the Compliance Committee, in which the General Auditor participates, who in turn reports such actions to the Audit Committee.

**Question III.18**

	Yes	No	Explanation:
<i>a. Is the Board responsible for monitoring and controlling potential conflicts of interest arising in the Board of Directors?</i>	X		Article 10 of the Board Regulations
<i>b. If the company is not a financial institution, does it have an established policy that the members of the Board of Directors are prohibited from receiving loans from the company or any company of its economic group unless they have the prior authorization of the Board of Directors?</i>		X	Pursuant to Article 325 of Law No. 26702, the Company is legally prohibited from lending sums of money in any form or guaranteeing or securing the liabilities of its Directors and employees, which is why it is not necessary to have the policy described in this question.
<i>c. If the company is not a financial institution, has it established as a policy that members of Senior Management are prohibited from receiving loans from the company or any company of its economic group unless they have prior authorization from the Board of Directors?</i>		X	Pursuant to Article 325 of Law No. 26702, the Company is legally prohibited from lending sums of money in any form or guaranteeing or securing the liabilities of its Directors and employees, which is why it is not necessary to have the policy described in this question.

a. Please provide the following information of senior management members who have shareholder status in a percentage equal to or greater than 5% of the company.

First and last names	Position	Number of shares	% of total shares

% of the total shares in the possession of Senior Management	
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b. Indicate whether any of the members of the Board of Directors or the Company's Senior Management are spouses, first- or second blood relatives, or a first-degree relative of:

First and last names	Related To:			Shareholder/Director/ Manager's First and Last Names	Type of Relationship (**)	Additional information (***)
	Shareholder (*)	Board Member	Senior Management			
Alex Fort Brescia		X		Bernardo Fort Brescia	Blood Relative 2nd Degree	
		X		Mario Brescia Moreyra	Blood Relative 4th Degree	
		X		Pedro Brescia Moreyra	Blood Relative 4th Degree	
		X		Fortunato Brescia Moreyra	Blood Relative 4th Degree	
Pedro Brescia Moreyra		X		Mario Brescia Moreyra	Blood Relative 2nd Degree	
		X		Fortunato Brescia Moreyra	Blood Relative 2nd Degree	
		X		Alex Fort Brescia	Blood Relative 4th Degree	
		X		Bernardo Fort Brescia	Blood Relative 4th Degree	
Fortunato Brescia Moreyra		X		Mario Brescia Moreyra	Blood Relative 2nd Degree	
		X		Pedro Brescia Moreyra	Blood Relative 2nd Degree	
		X		Alex Fort Brescia	Blood Relative 4th Degree	
		X		Bernardo Fort Brescia	Blood Relative 4th Degree	
Mario Brescia Moreyra		X		Fortunato Brescia Moreyra	Blood Relative 2nd Degree	
		X		Pedro Brescia Moreyra	Blood Relative 2nd Degree	
		X		Alex Fort Brescia	Blood Relative 4th Degree	
		X		Bernardo Fort Brescia	Blood Relative 4th Degree	
Bernardo Fort Brescia		X		Alex Fort Brescia	Blood Relative 2nd Degree	
		X		Mario Brescia Moreyra	Blood Relative 4th Degree	
		X		Pedro Brescia Moreyra	Blood Relative 4th Degree	
		X		Fortunato Brescia Moreyra	Blood Relative 4th Degree	

(\*) Shareholders with an interest equal to or greater than 5% of the capital stock.

(\*\*) For the purposes of the linkage assessment, the linkage criteria contained in the Regulation on Indirect Ownership, Linkage, and Economic Groups shall be applied.

(\*\*\*) In the event of a relationship with a shareholder, specify its shareholding percentage. In the case of a relationship with a member of the management, specify his/her position.

c. In case any member of the Board occupies or has held during the current fiscal year any managerial position in the company, please provide the following information:

First and last names	Management position that was held or holds	Date in Management Position	
		Start (*)	End (**)

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(\*) Corresponds to the first appointment in the reporting company in the management position.

(\*\*) To be completed only in the event that he/she has ceased to hold the managerial position during the fiscal year.

In case any member of the Board or Senior Management of the company has maintained during the fiscal year, any commercial or contractual relationship with the company, which have been important due to their amount or for their subject matter, indicate the following information.

First and last names	Relationship Type	Brief Description

## Principle 23: Operations with related parties

### Question III.19

	Yes	No	explanation:
a. Does the Board have policies and procedures for the valuation, approval, and disclosure of certain transactions between the company and related parties, as well as to know the commercial or personal relationships, direct or indirect, that Directors maintain between them, with the company, with their suppliers or customers, and other interest groups?		X	The Company is governed by IFRS, which requires that transactions with related parties must be disclosed in the Financial Statements, which is why there is no additional policy for such transactions.
b. In the case of transactions of particular relevance or complexity, is the intervention of independent external advisers contemplated for valuation?	X		Whether the intervention of external advisors is contemplated, especially for the performance of transfer pricing studies, either the so-called Local Report or Master Report.

- a. If you comply with part (a) of Question III.19, indicate the area(s) of the company responsible for processing transactions with related parties in the following respects:

Aspects	Responsible Department
Valuation	
Approval	
Disclosure	

- b. Enter the procedures for approving transactions between related parties:

- c. Detail those transactions carried out between the company and its related parties during the fiscal year that has been significant by their amount or subject matter.

Name or Corporate Name of related party	Nature of the relationship (*)	Type of operation	Amount (S/.)

(\*) For the purposes of determining the relationship, the Provisions for the Application of Article 51(c) of the Securities Market Law, adopted by Resolution No.029-2018-SMV/01 or a rule replacing it, shall apply for the purpose of determining the relationship.

- d. Specify whether the company sets limits for transactions with related parties:

Yes

☐

No

☒

## Principle 24: Functions of Senior Management

### Question III.20 / Compliance

	Yes	No	explanation:
a. Does the company have a clear policy of delimitation of functions between the administration or government exercised by the Board, the ordinary management in charge of Senior Management and the leadership of the General Manager?	X		Article 40 of the Statute
b. Do the designations of the General Manager and Board of Directors fall under different people?	X		GSM Minutes of March 26, 2019
c. Does Senior Management have sufficient autonomy for the development of assigned functions, within the framework of policies and guidelines defined by the Board, and under its control?	X		Article 40 of the Statute
d. Is General Management responsible for complying with and enforcing the policy of delivering information to the Board and its Directors?	X		Article 6 of the Board Regulations
e. Does the Board annually evaluate the performance of General Management based on well-defined standards?	X		Article 37 of the Statute Article 15 of the Board Regulations
f. Does the remuneration of Senior Management have a fixed and a variable component, which takes into account the results of the company, based on prudent and risk-responsible assumption, and the fulfillment of the goals set out in the respective plans?	X		Article 37 of the Statute Article 15 of the Board Regulations

a. Please provide the following information regarding the remuneration received by the General Manager and management staff (including bonuses).

Position	Remuneration (*)	
	Fixed	Variable
General Manager and Management Staff	0.26	0.15

(\*) Indicate the percentage representing the total amount of annual remuneration of members of Senior Management, relative to the level of gross income, according to the financial statements of the company.

b. In the event that the company pays bonuses or compensation other than those determined by legal mandate, to the Senior Management, indicate the form(s) in which they are paid.

	General Management	Managers
Delivery of Shares		
Delivery of Options		
Delivery of Cash	X	X
Others / Detail		

c. If there is a variable component in remuneration, specify which are the main aspects taken into consideration for its determination.

For the variable remuneration of the GM and senior management, the company's results are taken into account according to the following criteria:  
i) Financial ii) Customers iii) Internal processes and iv) Learning and growth.

d. Indicate whether the Board evaluated the performance of the General Management during the fiscal year.

Yes ☐

No ☒

## Pillar IV: Risk and Compliance

### Principle 25: Risk Management System Environment

#### Question IV.1

	Yes	No	Explanation:
<i>a. Does the Board of Directors approve a comprehensive risk management policy in accordance with its size and complexity, promoting a risk management culture within the company, from the Board of Directors and Senior Management to the employees themselves?</i>	X		Article 15 of the Board Regulations
<i>b. Does the integrated risk management policy cover all the companies in the group and provide an overall view of critical risks?</i>	X		Rules of Procedure of the Comprehensive Risk Management Committee

Does the company have a risk management delegation policy that sets the risk limits that can be managed by each level of the company?

Yes ☒ No ☐

#### Question IV.2

	Yes	No	Explanation:
<i>a. Does the General Management manage the risks to which the company is exposed to and inform the Board about them?</i>	X		The General Manager's Office performs this through the quarterly report that the Executive Vice-President of Finance and Risk Control submits to the Board of Directors.
<i>b. Is General Management responsible for the risk management system, in the event of no Risk Committee or Risk Management Office?</i>		X	Our company has an Integral Risk Management Committee, which is the body in charge of controlling and monitoring the company's risk control.

Does the company have a Risk Manager?

Yes ☒ No ☐

If yes, please provide the following information:

First and last names	Appointment Date		Department / Body reports to
	Start (*)	End (**)	
Jorge Alberto Ortecho Rojas	01/12/2013		Vice-Presidency of Administration and Control

(\*) It corresponds to the first appointment in the reporting company.

(\*\*) Complete only if you had ceased to hold office during the fiscal year.

#### Question IV.3

	Yes	No	Explanation:
<i>Does the company have an internal and external control system, the effectiveness and adequacy of which is supervised by the Company's Board of Directors?</i>	X		Article 15 of the Board Regulations



**Principle 26: Internal Audit**  
**Question IV.4**

Annually, sign a declaration of independence and compliance with the code of ethics for the performance of their duties and its application in the execution of the annual audit plan. Conduct the evaluation of the design, scope and operation of the internal control system with emphasis on the proper functioning of the company's comprehensive risk management. Conduct the evaluation of compliance with the legal provisions governing the companies in the course of their examinations, in particular the General Law and the provisions issued by the regulatory entities. Respond to the information requirements of the regulatory entities. Evaluate compliance with accounting standards, among others.

	Yes	No	Explanation:
<i>a. Does the internal auditor perform audit work exclusively, have autonomy, experience, and expertise in the matters under evaluation, and independence for monitoring and evaluating the effectiveness of the risk management system?</i>	X		Internal Audit Manual, MOF and Bylaws
<i>b. Are the internal auditor's functions the permanent evaluation that all financial information generated or recorded by the company is valid and reliable, as well as verifying the effectiveness of regulatory compliance?</i>		X	The financial information is reviewed by the External Auditors. Rimac Seguros has a Regulatory Compliance Officer whose functions include the management of compliance with internal and external regulations. Internal Audit as the third line of control validates the financial information related to the review of the audited processes according to the Annual Plan approved by the Board of Directors and also verifies the effectiveness of regulatory compliance in these processes.
<i>c. Does the internal auditor report directly to the Audit Committee on its plans, budget, activities, progress, results obtained, and actions taken?</i>	X		Internal Audit Manual, MOF and Bylaws

a. Indicate if the company has an independent area responsible for internal auditing.

Yes

☒

No

☐

If the answer to the above question is yes, within the organic structure of the company indicate, hierarchically, who does Auditing report to?

It reports to:	Audit Committee
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b. Indicate whether the company has an Internal Corporate Auditor.

Yes

☒

No

☐

Indicate the main responsibilities of the internal audit manager and whether he/she performs other functions outside the internal audit.

**Question IV.5**

	Yes	No	Explanation:
<i>Is the appointment and removal of the Internal Auditor the responsibility of the Board of Directors upon the proposal of the Audit Committee?</i>	X		Audit Committee Rules

## Principle 27: External Auditors

### Question IV.6

	Yes	No	Explanation:
<i>Does the GSM, at the proposal of the Board of Directors, appoint the auditing firm or the independent auditor, both of which maintain a clear independence from the company?</i>	X		Article 6 of the General Shareholders' Meeting Rules

a. Does the company have a policy for the appointment of the External Auditor?

Yes ☐ No ☒

If yes, describe the procedure for hiring the audit firm responsible for issuing the annual financial statements (including the identification of the body of the company responsible for electing the audit firm).

b. If the audit firm has performed services other than the audit of accounts itself, indicate whether such procurement was reported to the GSM, including the percentage of turnover that those services represent on the total turnover of the audit firm to the company.

Yes ☒ No ☐

c. Do persons or entities linked to the audit firm provide services to the company, other than those of the audit of accounts itself?

Yes ☒ No ☐

If the answer to the above question is yes, please provide the following information regarding the additional services provided by persons or entities linked to the audit firm in the reported fiscal year.

Name or Corporate name	Additional services	% of remuneration (*)
Ernst & Young Civil Society Advisers Limited Liability	Tax Advice - Final Beneficiary Breca Group	0.73
Ernst & Young Civil Society Advisers Limited Liability	Analysis of the contribution of the SDGs of RIMAC Insurance	1.04
Ernst & Young Civil Society Advisers Limited Liability	Immigration advice	1.52

(\*) Billing of additional services over billing of audit services.

d. Indicate whether the audit firm has used different equipment if it has provided additional services to the audit of accounts.

Yes ☒ No ☐

### Question IV.7

	Yes	No	Explanation:
<i>a. Does the company maintain a policy of renewing its independent auditor or audit firm?</i>	X		Article 12 of the External Audit Regulations (Res. SBS 17026-2010)
<i>b. If such a policy establishing longer renewal periods for the audit firm, does the audit firm's workforce rotate at most every five (5) years?</i>	X		Article 12 of the External Audit Regulations (Res. SBS 17026-2010)

Please provide the following information from the audit firms that have provided services to the company over the past five (5) years.

Name of Auditing Firm	Service (*)	Period	Remuneration (**)	% of revenue audit firm
Walls, Zaldivar, Burga & Associates S. Civil de R.L.	Audit of Statements	2016	86	
PricewaterhouseCoopers Society Limited Liability Civil	Advice on matters	2016		
Ernst & Young Civil Society Advisers Limited Liability	Development Assistance	2016		
KPMG Civil Society Advisers Limited Liability	Process Validation	2016		
Walls, Burga & Associates S. Civil R.L.	Audit of Statements	2017	79	
PricewaterhouseCoopers Society Limited Liability Civil	Advice on matters	2017		
Ernst & Young Civil Society Advisers Limited Liability	Development Assistance	2017		
Deloitte Consulting, S.L.U.	Evaluation Assistance	2017		
Gavoglio, Aparicio and Associates Civil Society of R.	Process Validation	2017		
Walls, Burga & Associates S. Civil R.L.	Audit of Statements	2018	91	
PricewaterhouseCoopers Society Limited Liability Civil	Advice on matters	2018		
Ernst & Young Civil Society Advisers Limited Liability	Development Assistance	2018		
Deloitte Consulting S.L.U.	Advisory and Consulting	2018		
Gavoglio, Aparicio and Associates Civil Society of R.	Process Consulting	2018		
Walls, Burga & Associates S. Civil R.L.	Audit of Statements	2019	98	
PricewaterhouseCoopers Society Limited Liability Civil	Advice on matters	2019		
Ernst & Young Civil Society Advisers Limited Liability	Development Assistance	2019		
Deloitte Consulting, S.L.U.	Advisory and Consulting	2019		
Gavoglio, Aparicio and Associates Civil Society of R.	Process Consulting	2019		
BDO Consulting S.A.C.	Assessment Assistance	2019		
Walls, Burga & Associates S. Civil R.L.	Audit of Statements	2020	100	
PricewaterhouseCoopers Society Limited Liability Civil	Advice on matters	2020		
Gavoglio, Aparicio and Associates Civil Society of R.	Advisory and Consulting	2020		
Deloitte Consulting, S.L.U.	Advice on actuarial matters	2020		
Ernst & Young Advisors Society Limited Liability Civil	Advisory and Consulting	2020		

(\*) Include all types of services, such as financial reporting opinions, accounting expert reports, operational audits, system audits, tax audits, or other services.

(\*\*) Of the total amount paid to the audit firm for any circumstances, indicate the percentage corresponding to remuneration for financial audit services.

#### Question IV.8

Yes	No	Explanation:
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<i>In the case of economic groups, is the external auditor the same for the whole group, including offshore subsidiaries?</i>	X		
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Indicate whether the audit firm contracted to issue the company's financial statements for the fiscal year of this report also issued the financial statements for the same fiscal year to other companies in its economic group.

Yes ☐

No ☐

If yes, please indicate the following:

Name or corporate name of the company(ies) in the economic group
ADMINISTRACION DE EMPRESAS S.A.C., BODEGAS VIÑAS DE ORO S.A., BRECA BANCA S.A.C., CORPORACIÓN BRECA

## Pillar V: Transparency of Information

### Principle 28: Information Policy

#### Question V.1

	Yes	No	Explanation:
<i>Does the company have an information policy for shareholders, investors, other stakeholders, and the market in general, which defines in a formal, orderly, and comprehensive manner the guidelines, standards, and criteria to be applied in the handling, compilation, preparation, classification, organization and/or distribution of the information generated or received by the company?</i>	X		SMV Regulation of Significant Events (Res SMV 005 2014)

- a. If this is the case, indicate whether, in accordance with its information policy, the company disseminates the following:

	Yes	No
Objectives of the Company	X	
List of members of the Board of Directors and Senior Management	X	
Shareholding structure	X	
Description of the economic group to which it belongs	X	
Financial Statements and Annual Report	X	
Other / Detail		

- b. Does the company have a corporate website?

Yes ☒ No ☐

The corporate website includes:

	Yes	No
A special section on corporate governance or shareholder and investor relations including Corporate Governance Report	X	
Significant events	X	
Financial information	X	
Bylaws	X	
GSM Regulations and information on Meetings (attendance, minutes, other)	X	
Composition of the Board of Directors and its Regulations	X	
Code of Ethics	X	
Risk policy		X
Corporate Social Responsibility (community, environment, other)	X	
Others / Detail	Dividend Policy	

#### Question V.2

	Yes	No	Explanation:
<i>Does the company have an investor relations office?</i>	X		The Vice Presidency of Risk Management and Control, which includes the Company's Securities Area, is responsible for receiving and processing requests for shareholder information.

If you have an investor relations office, please indicate who is responsible.

	Responsible for the office of investor relations	Margara Saenz Devercelli and Jorge Ortecho Rojas
--	--	--

If there is no investor relations office, indicate the unit (department/area) or person in charge of receiving and processing requests for information from the company's shareholders and the general public. If it is a person, also include his/her position and department in which he/she works.

	Department in charge	
--	----------------------	--

	Person in charge			
	First and Last Name	Position	Department	

## Principle 29: Financial Statements and Annual Report

If any caveats in the report by the external auditor, have these caveats been explained and/or justified to shareholders?

Yes

☐

No

☐



## Principle 30: Information on shareholding structure and shareholder agreements

### Question V.3

	Yes	No	Explanation:
<i>Does the company disclose the ownership structure, considering the different classes of shares and, if applicable, the joint participation of a given economic group?</i>	X		The information consulted through the SMV is presented.

Indicate the composition of the company's shareholding structure at the end of the fiscal year.

Holding shares with the right to vote	Number of holders (at year-end)	% of participation
Less than 1%		
Between 1% and 5%		
Between 5% and 10%		
Greater than 10%		
Total		

Holding shares without voting rights (if applicable)	Number of holders (at year-end)	% of participation
Less than 1%		
Between 1% and 5%		
Between 5% and 10%		
Greater than 10%		
Total		

Holding investment shares (if applicable)	Number of holders (at year-end)	% of participation
Less than 1%		
Between 1% and 5%		
Between 5% and 10%		
Greater than 10%		
Total		

Percentage of shares held as a percentage of capital stock:

### Question V.4

	Yes	No	explanation:
<i>Does the company report on the agreements or pacts between shareholders?</i>		X	We are not aware of any agreements or pacts between shareholders.

a. Does the company have existing agreements between shareholders?

Yes

No

b. If any pacts or agreements have been made between shareholders that has been informed to the company during the fiscal year, indicate what matters each of these dealt with.

Election of members of the Board of Directors	
Exercise of voting rights at shareholders' meetings.	
Restriction of the free transferability of shares.	
Changes in the internal rules or bylaws of the company.	
Others /Detail	

## Principle 31: Corporate Governance Report

### Question V.5

	Yes	No	Explanation:
<i>Does the company disclose the standards adopted in the area of corporate governance in an annual report, the content of which is the responsibility of the Board of Directors, following a report from the Audit Committee, the Corporate Governance Committee, or an external consultant, as the case may be?</i>	X		The company discloses its Corporate Governance standards through the Annual Report and its self-assessment on Compliance with the SMV's Corporate Governance Principles. An External Consultant authorized by the LSE ( <i>Lima Stock Exchange</i> ) issues a report on compliance with the CGM Principles. In addition, the Internal Audit Unit monitors the implementation of the recommendations made by the External Consultant, whose report is made known to the LSE.

a. The company has mechanisms for the internal and external dissemination of corporate governance practices.

Yes

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No

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If yes, specify the mechanisms used.

The SMV's (*The Superintendence of Securities Market*) self-assessment on Good Corporate Governance, which is completed by the company, is available on the company's website and on the SMV's website as an appendix to the Annual Report.

## SECTION C:

### Content of Company Documents

Please indicate in which of the following company document(s) the following topics are regulated:

		Principles	Statute	Internal Regulation (*)	Manual	Other	Unregulated	Not Applicable	Document Name (**)
1	Policy for the redemption or exchange of non-voting shares	1						X	
2	Method of registration of share ownership rights and person responsible for registration	2	X						
3	Procedures for the selection of outside advisor to provide an independent opinion on proposals by the Board of Directors for corporate transactions that may affect shareholders' non-dilution rights	3		X					Board Regulations
4	Procedure for receiving and responding to requests for information and opinions from shareholders	4		X					Board Regulations
5	Dividends Policy	5				X			Dividend Policy
6	Policies or agreements not to adopt anti-takeover mechanisms	6					X		
7	Arbitration agreement	7		X					Board Rules Shareholders General
8	Policy for the selection of the company's Directors	8		X					
9	Policy for evaluating the remuneration of Directors of the company	8	X	X					
10	Mechanisms to make available to shareholders information related to items on the GSM agenda and proposed resolutions.	10	X	X					
11	Additional means to those established by law, used by the company to call Meetings	10		X					
12	Additional mechanisms for shareholders to formulate proposals for agenda items to be discussed at the GSM	11		X					
13	Procedures for accepting or rejecting shareholder proposals for agenda items to be discussed at the GSM	11		X					
14	Mechanisms that allow for non-presential participation	12	X	X					
15	Procedures for the issuance of the differentiated vote	12		X					
16	Procedures to be followed in situations of delegation of vote	13		X					
17	Requirements and formalities for a shareholder to be represented at a shareholders' meeting	13		X					
18	Procedures for the delegation of votes in favor of members of the Board of Directors or Senior Management.	13		X					
19	Procedure for tracking GSM agreements	14				X			
20	The minimum and maximum number of Directors	15	X						

21	The duties, rights, and functions of the Directors of the company	17	X	X					
22	Types of bonuses received by the Board of Directors for meeting company goals	17	X			X			
23	Policy for contracting advisory services for Directors	17		X					
24	Induction policy for new Directors	17		X					
25	Special requirements to be an Independent Director of the company	19		X					
26	Criteria for the evaluation of the performance of the Board of Directors and its members	20		X					
27	Policy for the identification, monitoring and control of potential conflicts of interest	22		X	X				
28	Policy defining the procedure for the valuation, approval, and disclosure of transactions with related parties	23				X			
29	Responsibilities and functions of the Chairman of the Board, Chief Executive President, Chief Executive Officer, and other officers in senior management positions	24	X	X					
30	Criteria for performance evaluation of senior management	24				X			
31	Policy for setting and evaluating the compensation of Senior Management	24		X					
32	Integrated risk management policy	25		X	X				
33	Responsibilities of the person in charge of Internal Audit.	26		X					
34	Policy for the appointment of the External Auditor, contract term and renewal criteria	27		X					
35	Policy on disclosure and communication of information to investors	28				X			Regulations on Acts of Importance of SMV (Res. SMV No. 005- 2014)

(\*) Includes GSM Regulations, Board Regulations, or others issued by the company.

(\*\*) Indicate the name of the document except in the case of the Company's Statute.