




**CODE OF ETHICS AND CONDUCT FOR  
SUPPLIERS OF GOOD AND SERVICES,  
OR CONTRACTORS, OUTSOURCED  
SERVICES, AND SUBAGENTS OF BANCO  
DE RESERVAS DE LA REPÚBLICA  
DOMINICANA –BANCO DE SERVICIOS  
MÚLTIPLES– AND ITS SUBSIDIARIES**


**Version No. 2**

<b>APPROVAL REFERENCE</b>	
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<b>Reviewed by:</b>	Process and Quality Assurance Management Office
<b>Approval:</b>	<b>Nineteenth Resolution of the Board of Directors, dated October 25, 2022</b>

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p align="center"><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 2 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

## 1. Contents

I. INTRODUCTION.....	3
II. PURPOSE.....	4
III. SCOPE.....	4
IV. GLOSSARY OF TERMS.....	4
V. ETHICAL PRINCIPLES.....	6
VI. GENERAL STANDARDS.....	7
6.1 LABOR STANDARDS.....	7
6.2 FORCED LABOR AND CHILD LABOR.....	7
6.3 HUMAN RIGHTS .....	8
6.4 REGULATORY COMPLIANCE AND LEGISLATION .....	8
6.5 SAFETY .....	9
6.6 ANTI-CORRUPTION.....	9
6.7 DISCRIMINATION OR HARASSMENT .....	10
6.8 ENVIRONMENTAL PROTECTION .....	10
6.9 CONFIDENTIALITY .....	11
6.10 CYBERSECURITY AND INFORMATION SECURITY .....	11
6.11 COMPLIANCE.....	12
6.12 CONFLICT OF INTEREST.....	13
6.13 INTELLECTUAL PROPERTY .....	13
6.14 SOCIAL RESPONSIBILITY .....	13
6.15 FAIR COMPETITION .....	14
6.16 CORPORATE REPUTATION.....	14
6.17 PROPER UTILIZATION OF RESOURCES .....	14
6.18 REGULATORY COMPLIANCE .....	14
6.19 SANCTIONS FOR BREACHING THIS CODE .....	15
VII. REFERENCE SOURCES.....	16
VIII. CHANGE CONTROL.....	17

	<b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b>	Page 3 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

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## I. INTRODUCTION


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Banco de Reservas de la República Dominicana and its Subsidiaries acknowledge that suppliers of goods and services, or contractors, outsourced services, and subagents are independent organizations actively participating in the Institution's value chain. Therefore, the Bank shall promote and encourage them to abide by this Code of Ethics and Conduct for Suppliers of Goods and Services, or Contractors, Outsourced Services, and Subagents of Banco de Reservas and its Subsidiaries, for the purpose of establishing and maintaining relationships based on trust, respect and mutual benefit.

For Banco de Reservas de la República Dominicana and its Subsidiaries, working in conformity to ethical principles, and compliance with anti-corruption, anti-bribery, anti-money laundering, and counter-terrorist financing international laws, standards and regulations, and in conformity to the principles of the United Nations Global Pact, is a commitment that must be assumed by each of its employees and related parties.

It is encouraged to adopt the standards and principles as described below. Furthermore, it is suggested these same criteria to be promoted among all business and contract related parties, especially, suppliers of goods and services, or contractors, outsourced services, and subagents, for the purpose of positively encouraging good behavior among all involved.

The provisions herein do not replace any requirements specified in the contracts of suppliers of goods and services, or contractors, outsourced services and subagents of Banco de Reservas de la República Dominicana –Banco de Servicios Múltiples– and its Subsidiaries. Any amendments to the provisions herein shall be submitted to the Process and Quality Assurance Management Office for evaluation purposes and subsequent approval by the relevant bodies.

	<b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b>	Page 4 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

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## II. PURPOSE

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This Code of Ethics and Conduct for Suppliers of Goods and Services, or Contractors, Outsourced Services, and Subagents of Banco de Reservas de la República Dominicana -Banco de Servicios Múltiples- and its Subsidiaries is intended as a guidance for the mutual benefit with suppliers of good and services, or contractors, outsourced services, and subagents, and to provide for minimum standards of conduct as stated herein for the proper development of their activity.

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## III. SCOPE

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This code of ethics and conduct applies to all suppliers of good and services, or contractors, outsourced services, and subagents of Banco de Reservas de la República Dominicana – Banco de Servicios Múltiples– and its Subsidiaries.

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## IV. GLOSSARY OF TERMS

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**Harassment:** keeping a person under constant or frequent surveillance with a presence in places immediate or relatively close to their home, residence, school, work, or in other places frequently attended by such person, or in the vehicle in which they are, in such a way that might cause an average person to be dreaded or frightened.

**Sexual harassment:** as per the International Labor Organization (ILO), it means any unilateral request of a sexual nature, unwanted to the recipient, and causing harm to their health, affecting and/or threatening their job opportunities, condition, or regular work performance.

**Moral harassment:** is the exposure to psychological violence behaviors, directed repeatedly and over time, towards one or more persons by another or other persons, who act against them systematically and from a position of power, (not necessarily a higher-ranking position).

	<b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b>	Page 5 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

**Gender-based harassment:** any behavior based on another person’s sex, for the purpose of or resulting in adversely affecting such person’s dignity, and creating an intimidating, humiliating, or offensive environment.

**Due diligence:** It is the process by which a financial intermediation entity obtains, updates and maintains information about its current and potential clients and related parties, which is a key component of the money laundering and terrorist financing (ML/TF) prevention program.

**Discrimination:** different and harmful treatment given to a person based on race, sex, political ideas, religion, etc.

**Code de of ethics:** It is aimed at setting the rules that regulate the behavior of people within a business or organization, regardless of their position.

**Conflict of interest:** are those situations in which the judgment of a subject, in relation to a primary interest for him or her, and the integrity of his or her actions, tend to be unduly influenced by a secondary interest, which is frequently of an economic or personal nature.

**Corruption:** It is the practice of abusing power, position, or means for a personal gain, whether economic or otherwise.


**Ethics:** is the discipline on moral principles and morality; a system of rules and standards of conduct of humans in their relationship with society and with each other.

**Stakeholders:** groups or people that have an impact, or are impacted, directly or indirectly, by the performance of an organization's activity and, in turn, have power and influence over such activity.

**Free competition:** it is the possibility of accessing markets, offering goods and services, given the absence of artificial barriers created to the entry of potential competitors.

**Sustainable Development Goal (SDG):**

the global agenda for sustainable development, to be achieved by 2030, consists of a set of global goals aimed at eradicating poverty, protecting the planet, and ensuring prosperity of the entire world population.

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p align="center"><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 6 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

**Suppliers:** any natural or legal person that professionally provides or supplies a certain good or service to other individuals or companies, as a form of economic activity and in exchange for a consideration.

**Global Compact:** it is a call from the United Nations to companies to align their strategies and operations with ten universal principles related to human rights, labor, environment, and anti-corruption, and take actions that advance the sustainable development goals (SDGs).

**Bribery:** refers to corrupting someone with money, gifts, or some favor to obtain something from this person-

**Legally-bound reporting party:** any natural or legal person who, by virtue of Law No. 155-17, is bound to comply with obligations aimed at preventing, detecting, assessing, and mitigating the risk of money laundering, and financing of terrorism, and other actions for preventing financing of the proliferation of weapons of mass destruction.

**Outsourced Service: outsourcing: it is the practice of hiring a party outside a company to provide a service that, in principle, should be provided by the company itself. These include the relationship between a Trustor and the Trustee as administrator of the Trust, belonging to the same financial group.**


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## V. ETHICAL PRINCIPLES

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In this Code of Ethics and Conduct the following are considered as ethical principles governing the behavior of suppliers of good and services, or contractors, outsourced services, and subagents of Banco de Reservas de la República Dominicana and its Subsidiaries:

**5.1 Respect for people and non-discrimination:** treating employees with respect and dignity, providing the same job access opportunity, as well as to the people to whom services are provided, without any discrimination based on gender, religion, ethnic origin, disability, social and economic position, or other characteristics beyond righteousness.

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 7 of 17
		<p>Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022</p>
		Version No. 3

- 5.2 Politeness:** suppliers of good and services, or contractors, outsourced services, and subagents in dealing with others shall be kind and willing, constantly maintaining a positive and respectful attitude.
- 5.3 Discipline:** means adherence to and compliance with the institution’s standards by suppliers of good and services, or contractors, outsourced services, and subagents, in performing their duties.
- 5.4 Efficiency:** fulfilling assignments in a timely manner and with the required quality, appropriately managing the resources of Banco de Reservas de la República Dominicana and its Subsidiaries.
- 5.5 Transparency:** transparent performance throughout the entire business relationship among suppliers of good and services, or contractors, outsourced services, and subagents of Banco de Reservas de la República Dominicana and its Subsidiaries.

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## VI. GENERAL STANDARDS


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### 6.1 Labor standards:

**6.1.1** Suppliers of good and services, or contractors, outsourced services, and subagents shall be in compliance with the provisions in the Dominican Labor Code for the performance of the staff duties, without excluding the employment contract carried out on an informal basis not having legal protection (undocumented aliens and/or without a work permit, among others).

### 6.2 Forced labor and child labor:

**6.2.1** Suppliers of good and services, or contractors, outsourced services, and subagents should not engage in nor allow forced and/or compulsory labor. They must not tolerate or use child or youth labor exploitation in performing their activities.

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p align="center"><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 8 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

### **6.3 Human rights:**


**6.3.1** Consistent with the principles of protection of fundamental human rights, the internal standards and policies of Banco de Reservas de la República Dominicana and its Subsidiaries, are aimed at the respect for the dignity and rights of each individual and his/her environment, and therefore, as an entity, it is expected from suppliers of good and services, or contractors, outsourced services, and subagents to:

- 6.3.1.1** Support and respect the protection of internationally recognized fundamental human rights within their sphere of influence.
- 6.3.1.2** Ensure that their businesses are not complicit in human rights abuse.
- 6.3.1.3** Raise awareness within the organization about known human rights issues within the entity's sphere of influence.
- 6.3.1.4** Continuously consult within and outside the company with stakeholders in respect to human rights issues.
- 6.3.1.5** Develop policies aimed at identifying, preventing and mitigating any negative impacts on human rights that may be caused by the company.

### **6.4 Regulatory compliance and legislation:**

**6.4.1** Suppliers of good and services, or contractors, outsourced services, and subagents, regardless of the jurisdiction where their commercial activities are carried out, shall comply with any applicable rules, laws, and regulations in force. In addition, and upon request of Banco de Reservas de la República Dominicana and its Subsidiaries, they shall forward any supporting information and/or documentation for verifying any such compliance.



 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 9 of 17
		<p>Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022</p>
		Version No. 3

## **6.5 Safety:**

**6.5.1** Suppliers of good and services, or contractors, outsourced services, and subagents shall be aware of and comply with all internal regulations, safety policies, processes, prioritizing the safety and well-being of people.

**6.5.2** Compliance with all Health and Occupational Safety measures and policies, workers' social security protection, and other national regulations.


## **6.6 Anti-corruption:**

**6.6.1** Any supplier of good and services, or contractor, outsourced service, and subagent shall put mechanisms in place allowing to fight all forms of corruption and bribery in performing their activities. This involves:

**6.6.1.1** They shall not make, offer, or accept any payment or gift whether in cash, in kind, or otherwise, resulting from their agreements as a supplier with Banco de Reservas de la República Dominicana and its Subsidiaries, for the purpose of obtaining or maintaining any business or advantage for themselves or a third party, which could give rise to a conflict between the interests of the supplier of goods and services, or contractors, outsourced services and subagents, or the third party, and those of Banco de Reservas de la República Dominicana and its Subsidiaries.

**6.6.1.2** Compliance with the Dominican Republic Constitution, all national laws and regulations whether or not derived from anti-bribery and anti-corruption international agreements executed by the country.

**6.6.1.3** They shall provide Banco de Reservas de la República Dominicana and its Subsidiaries with assistance to identify the beneficial owner and controller of the provider companies, through due diligence according to Law 155-17 of June 1, 2017, against money laundering and financing of terrorism.

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 10 of 17
		<p>Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022</p>
		Version No. 3


- 6.6.1.4** To provide for and be knowledgeable of the Anti-corruption Policy Manual of Banco de Reservas and its Subsidiaries. This shall be made available upon delivery hereof.

## **6.7 Discrimination or harassment**

- 6.7.1** Any supplier of good and services, or contractor, outsourced service, and subagent shall maintain in the workplace an environment of zero tolerance to all forms of harassment and discrimination, professionalism, and respect for the dignity of each employee and the people with whom they interact.
- 6.7.2** Any supplier of good and services, or contractor, outsourced service, and subagent shall under no circumstance carry out, support or promote actions against the Institution's employees that may be considered gender, moral or sexual harassment, or any other type of discrimination or physical, verbal or mental abuse.
- 6.7.3** Banco de Reservas de la República Dominicana and its Subsidiaries shall maintain in their relationship with suppliers of goods and services, or contractors, outsourced services, and subagents, a respectful treatment free of any form of harassment and discrimination, taking into consideration the provisions of the Disciplinary Manual for sanctions in case of any incidents.

## **6.8 Environmental protection:**

- 6.8.1** Any supplier of good and services, or contractor, outsourced service, and subagent shall:
- 6.8.1.1** Develop their activities so that negative environmental impacts are minimized, in accordance with current legislation in the country, such as handling of hazardous materials, wastewater, solid waste and others, and a high level of safety is achieved in their facilities, products and services, paying special attention services, paying special attention to the protection of their employees, contractors,

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p align="center"><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 11 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

clients and local environment. Particularly, whenever any such activities are developed in the facilities of Banco de Reservas de la República Dominicana and its Subsidiaries, the supplier of goods and services, or contractor, outsourced service, and subagent shall know and cause its employees and contractors to comply with, any and all health, safety, and environmental standards of our institution as applicable.


- 6.8.1.2** Encourage initiatives that promote greater environmental responsibility and provide for the development and spreading of environmentally friendly technologies.

## **6.9 Confidentiality:**

- 6.9.1** Any supplier of good and services, or contractor, outsourced service, and subagent shall abide by the principles of confidentiality in respect to any information they may access as a result of their relationship with Banco de Reservas de la República Dominicana and its Subsidiaries in the performance of their professional activity, and comply, with no exception, with all rules set forth regarding information access, storage, and management.

## **6.10 Cybersecurity and information security:**

- 6.10.1** Suppliers of good and services, or contractors, outsourced services, and subagents of technological products or services with whom contract obligations are entered into, shall comply with:
  - 6.10.1.1** Any rules, laws, and regulations in force as applicable to cybersecurity and information security, and shall upon request forward any supporting information and/or documentation for verifying any such compliance.

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 12 of 17
		<p>Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022</p>
		Version No. 3

**6.10.1.2** Ensure functionality of the contracted products or services, and that they do not compromise any sensitive information of Banco de Reservas de la República Dominicana and its Subsidiaries during the contractual relationship.

**6.10.1.3** Comply with any cybersecurity and information security assessments to be carried out, and ensure the availability, completeness, and confidentiality of the information.

## **6.11 Compliance:**


**6.11.1** Any supplier of good and services, or contractor, outsourced service, and subagent of Banco de Reservas de la República Dominicana and its Subsidiaries, agrees to:

**6.11.1.1** Abide by this code of ethics and conduct while holding the status as a supplier of goods and services, or contractor, outsourced service, and subagent of Banco de Reservas de la República Dominicana and its Subsidiaries.

**6.11.1.2** Implement corrective actions in their organization, if necessary, as a result of any verification activity carried out by Banco de Reservas de la República Dominicana and its Subsidiaries.

**6.11.1.3** Provide Banco de Reservas de la República Dominicana and its Subsidiaries with any information as may be considered relevant in connection with the requirements set forth hereunder.

**6.11.2** Suppliers of good and services, or contractors, outsourced services, and subagents shall comply with the provisions of Law 155-17 of June 1, 2017, against money laundering and financing of terrorism, in order to avoid any conduct that may be defined as money laundering, or equity increase as a result of certain criminal activities and other related violations.

	<b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b>	Page 13 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

## **6.12 Conflict of interest:**


**6.12.1** Any supplier of goods and services, or contractor, outsourced service, and subagent of Banco de Reservas de la República Dominicana and its Subsidiaries shall be bound to report any potential or existing conflict of interest that may interfere with the value judgment of the staff in performing their obligations towards the organization. They shall keep a record of any case of actual or potential conflict of interest, and the actions taken to mitigate any such conflict.

## **6.13 Intellectual Property:**

**6.13.1** Suppliers of good and services, or contractors, outsourced services, and subagents shall in the course of their professional activities protect and respect all of Banco de Reservas de la República Dominicana and its Subsidiaries copyright and intellectual property rights; as well as care for their corporate image and reputation.

## **6.14 Social responsibility:**

**6.14.1** All suppliers of good and services, or contractors, outsourced services, and subagents of Banco de Reservas de la República Dominicana and its Subsidiaries shall carry out and also promote social responsibility management, developing activities which allow for the implementation of a responsible and sustainable business practice, committing to voluntary initiatives and developing activities beneficial for the various stakeholders with whom the company relates, in order to improve the social, economic and environmental component.

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p align="center"><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 14 of 17
		<p align="center">Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022</p>
		Version No. 3

## **6.15 Fair competition:**

**6.15.1** Suppliers of good and services, or contractors, outsourced services, and subagents, as provided under Law No. 42-08 of January 25, 2008 on Fair Competition, shall ensure free and fair competition, and also promote and defend effective competition to increase economic efficiency in goods and services markets, for the purpose of generating benefits and value for consumers and users in the national territory.

## **6.16 Corporate reputation:**


**6.16.1** Suppliers of good and services, or contractors, outsourced services, and subagents shall protect and preserve Banco de Reservas de la República Dominicana and its Subsidiaries' reputation. In addition, they shall make proper use of any existing social network, and therefore for any posting and/or comments, they shall obtain prior authorization by Banco de Reservas de la República Dominicana.

## **6.17 Proper utilization of resources:**

**6.17.1** Any supplier of good and services, or contractor, outsourced service, and subagent shall make proper use of any Banco de Reservas de la República Dominicana and its Subsidiaries' resources, i.e., equipment, systems, and any type of information, whether of a tangible or an intangible nature, and intended for their own use. Any inappropriate use of the available resources is prohibited.

## **6.18 Regulatory compliance:**

**6.18.1** The General Management Office and General Compliance Office in Banco de Reservas de la República Dominicana and its Subsidiaries, as applicable, shall ensure compliance with the ethical principles and standards hereunder.

 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p align="center"><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 15 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3


**6.18.2** The General Management, Compliance, Audit and Safety Offices in Banco de Reservas de la República Dominicana and its Subsidiaries, as applicable, shall be responsible for conducting an investigation on any events infringing upon compliance of this code of ethics and conduct, and subsequently submitting the results of any such investigation to the committee, as applicable.

**6.18.3** The organization unit responsible for procurement and logistics, and any other units involved therewith, in Banco de Reservas de la República Dominicana and its Subsidiaries, as applicable, shall give notice and make known to any selected supplier of goods and services, or contractor, outsourced service, and subagent, this code of ethics and conduct for suppliers of goods and services of Banco de Reservas de la República Dominicana and its Subsidiaries.

## **6.19 Sanctions for breaching this code:**

**6.19.1** Failure by any supplier of goods and services, or contractor, or outsourced service, and subagent to comply herewith may have an effect on the contractual relationship with Banco de Reservas de la República Dominicana and its Subsidiaries.

Based on the severity of any noncompliance, the consequences may range from a warning up to disqualification as a supplier of goods and services, or contractor, outsourced service, and subagent of Banco de Reservas de la República Dominicana and its Subsidiaries; without prejudice to any other applicable legal or administrative actions.

	<p align="center"><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 16 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

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## VII. REFERENCE SOURCES

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Law No. 155-17 against Money Laundering, Financing of Terrorism and Proliferation of Weapons of Mass Destruction (ML/FT/WMD).

Cybersecurity and Information Security Regulations (Resolution JM 181101-02).



 <p><b>BANRESERVAS</b> El banco de los dominicanos</p>	<p align="center"><b>CODE OF ETHICS AND CONDUCT FOR SUPPLIERS OF GOODS AND SERVICES, OR CONTRACTORS, OUTSOURCED SERVICES, AND SUBAGENTS OF BANCO DE RESERVAS DE LA REPÚBLICA DOMINICANA AND ITS SUBSIDIARIES</b></p>	Page 17 of 17
		Last amendment reference: Nineteenth Resolution of the Board of Directors, dated October 25, 2022
		Version No. 3

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## VIII. CHANGE CONTROL

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<b>Version</b>	<b>Date</b>	<b>Description of change</b>
01	04/28/2020	Remark by KPMG Dominicana, S. A., in connection with a code of Ethics providing for the guidelines to be complied with by suppliers when acting on behalf of Banco de Reservas de la República Dominicana and its Subsidiaries.
<b>02</b>	<b>10/25/2022</b>	To include issues related to discrimination, all forms of harassment, in line with the gaps detected in the self-diagnosis carried out for the certification of the gender-equality seal <i>Igualando RD</i> , as requested by the Bank's Social Responsibility unit, and upon request of the compliance unit in SEPROI, to strengthen the commitment to suppliers of goods and services of that subsidiary
<b>N/A</b>	<b>07/7/2023</b>	<b>Update to the Glossary of Terms to include definition and scope of Outsourced Services, upon the user's request. This amendment was made in accordance with the policy A-GP-MP-016, Process Design and Architecture.</b>