

CMF reports on completion of administrative summary

May 29, 2024 — The Financial Market Commission (CMF) reports that on May 27, 2024, the Office of the Comptroller General of the Republic executed Resolution No. 3 of March 15, 2024 issued by CMF Chairwoman Solange Berstein. Said Resolution concluded an administrative inquiry to determine potential administrative infractions and civil servant responsibilities.

Based on the record of the case, Commissioner Beltrán de Ramón, as Investigating Prosecutor, concluded the following:

- No CMF personnel were bribed.
- The Prosecutor of the Investigation Unit did not disclose any confidential information, nor any other information that would hinder further developments in the investigation launched against STF. All interaction with such counterparts was in accordance with usual procedures conducted by the Investigation Unit.
- Marcela Gómez Aguirre was correctly charged for disclosing confidential information directly related to the ongoing supervision process and subsequent audit by the Commission of STF Capital Corredores de Bolsa to Adrián Fuentes Campos (a third party outside the CMF). Gómez had access to said information in her capacity as the Commission's Corporate Affairs Advisor.

After receiving and analyzing the defense's arguments and additional probatory measures requested, Investigative Prosecutor de Ramón recommended applying a disciplinary measure to dismiss Marcela Gómez Aguirre.

Chairwoman Berstein, through Resolution No. 3 of March 15, 2024, decreed that the investigation of the facts triggering this administrative inquiry was at an end, and agreed with the criterion stated by the Investigating Prosecutor in his report to apply the disciplinary measure of dismissal. The Commission immediately forwarded said Resolution to the Office of the Comptroller General of the Republic for its recording, which was processed and notified to the CMF yesterday. The Comptroller upheld the disciplinary measure applied by the Chairwoman since it was in accordance with the law.

Having concluded its internal investigation, and considering the sanctioned infraction violates the duty of confidentiality under Article 28 of Decree Law No. 3,538, the CMF will file the pertinent complaint with the Public Prosecutor's Office for the alleged offense described in said Decree Law.

The result of this investigation confirms there was no impact on the supervision and sanctioning process against STF, as well as the soundness of the processes and the robustness of the Commission's internal governance.

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