LAYOUT MANUAL FOR BSM SUPERVISÃO DE MERCADOS FILES AND TRAILS

LISTED MARKET

bsm
SUPERVISÃO DE MERCADOS

05/2024
Version 2.1.

SUMMARY

BSM Supervisão de Mercados
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1. Introduction

The purpose of this Manual is to establish the standard in which the data files and trails requested by BSM must be delivered, aiming to streamline data extraction work by Participants and their contracted technology providers and simplify the technical analysis that is performed in relation to the data necessary to carry out BSM's supervision and inspection.

2. Scope of the Manual

The layout manual is applicable to all Participants of the listed market, regardless of the access category. This means that the rules and standards established in this document must be followed by all involved entities, without exceptions. This implies that all entities operating within the specified segment, whether as a Full Trading Participant, Trading Participant, Clearing Member, Settlement Participant, or Custody Agent, are required to adhere to the standards and guidelines set forth in the manual.

We detail in the table below an overview of the applicable processes for each access category:

	RLP (Retail Liquidity Provider)	Registration	Suitability	Orders	Settlement / Margin Account	Treasury/Current Account	Custody	Risk / Compulsory Settlement	Investment Advisor	Internal Controls	AML/CTF (Anti-Money Laundering/Counter-Terrorism Financing)	Operations and Offers Supervision	Professional Certification	Information Security	Infrastructure Support
Full Trading Participation (PNP)	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●
Trading Participation (PN)	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●
Clearing Member (MC)					●			●		●			●	●	●
Exchange Clearing Member								●						●	
Settlement Participant (PL)		●			●			●		●	●	●*		●	●
Custody Agent (AC)		●					●			●	●			●	●

● Applicable Process
* Operations Supervision.

2.1 File Specification

The databases and audit trails defined in the layouts in section 3 of this document must follow the following specifications for delivery:

- File format: .TXT with delimiter "|" or .CSV with delimiter ";", text qualifier in quotation marks ("") and header in the first line (ANSI or UTF-8 encoding);

- Only the layouts with the naming ending in AAA-MM-DD (e.g., RISCOPRE_AAAA-MM-DD) should be compressed and separated by day (other files should not be compressed for submission the Portal);

- Field with multiple data: Insert a new line for each occurrence within the multiple field[1], replicate the content without changes to other columns and change only the field in question;

- Fields not applicable: Leave the non-applicable field blank;

- Form of delivery: Electronic;

- Channel for transferring files: BSM Portal(in the folder corresponding to the previous month – for example: in February, carry out the upload in the January folder);

- Maximum file size: 2GB per file. If the file to be forwarded is larger than the maximum allowed capacity, it will be necessary to split it into more than one to upload it within the required parameters required (with the following nomenclature – e.g.: file_1 and file_2);

- The systems provided by B3 (e.g.: Sincad, CSD, ePuma, Line, among others) are out of the scope, since BSM has direct access to the data due to the organized markets managed by B3;

- The content of the file headers is free and can be adapted as needed by the Participant. However, it is essential that (i) the file contains all fields in the order defined in the document; and (ii) the minimum formatting parameters are respected to ensure consistency and the correct interpretation of the data;

- Certain fields in the layouts are designated as mandatory, meaning they must be filled out without fail. However, there may be situations where the

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[1] Example: For cases in which the client has more than one asset as allocated guarantee, insert one row per asset, repeating the client's other data in the other fields.

information required for a mandatory field is not available or does not apply to the context of the file being generated. For these cases, we request that the mandatory field be filled with the hyphen character ("-") as a placeholder; and

- The Participant is responsible for validating the integrity of the file regarding minimum fields, format and content, before making it available to BSM.

Layouts developed before the implementation date can be forwarded to the BSM team for formatting tests. This procedure is an opportunity to ensure that everything is in accordance with the requirements and that possible adjustments are identified and made in advance. To facilitate the process and ensure the efficiency of the tests, we ask that the Participant who opts for early submission send an email to bsm@bsmsupervisao.com.br with the subject 'Data Monitoring – Layout Testing', requesting the creation of the test item in the Portal for file upload. We remind you that early submission is not mandatory, but highly recommended to ensure a smooth transition on the official delivery date.

2.2 How to Send Files

The databases and audit trails defined in the layouts in section 3 must be made available through the BSM Portal[2] within the requested item of the reference month (for example: in February, perform the upload in the January folder) up to the tenth (10th) business day of the subsequent month.

Further information about the BSM Portal can be accessed at the following links:

File	Path
BSM Portal	https://www.bsmsupervisao.com.br/Noticias/portal-BSM
BSM Access Regulation	https://www.bsmsupervisao.com.br/assets/file/REGULAMENTO-DE-ACESSO-BSM.pdf
New system for sending and receiving data from BSM Supervisão de Mercados	https://www.bsmsupervisao.com.br/assets/file/leis-normas-regras/Comunicado_Externo_BSM_14_2022_Portal_BSM.pdf
User Manual – BSM Portal	https://www.bsmsupervisao.com.br/assets/file/BSM_manual-do-usuario-portal.pdf

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[2] Exceptions (other ways of accessing/sending files) must be addressed with BSM to assess the process applicability.

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2.3 Frequency of File Delivery

The databases and audit trails defined in the layouts in section 3 must be made available according to the frequency defined in the table below:

Process	Database or Audit Trail	Files	Frequency (b)	Obligation (a)
Retail Liquidity Provider (RLP)	Activation of educational triggers	ACIONAMENTOGE	Monthly	Since June 2023
	Submission of educational material	ENVIOMTE	Monthly	Since June 2023
	Minimum margin parameterization trail	MARGEM	Monthly	Since July 2023
	Opt-in and Opt-out	OPTIN_OPTOUT	Quarterly	Since August 2023
	List of clients adhering to the use of the RLP	BASEOPTIN	Quarterly	As of November 2023
Suitability	Suitability Quiz Questions and Answers	QUESTIONARIO_SUITABILITY	Quarterly	As of November 2024
	Suitability questionnaire score	PONTUACAO_SUITABILITY	Quarterly	As of November 2024
	Suitability questionnaire profiles.	PERFIL_SUITABILITY	Quarterly	As of November 2024
	Client Investment Profile Base	TRILHA_SUITABILITY	Quarterly	As of November 2024
	Products Offered by Investment Profile	PRODUCTSSU	Quarterly	As of November 2024
	Risk term for non-compliant operations	DESENQUAD	Quarterly	As of November 2024
	Risk Term Content	TERMORISC	Quarterly	As of November 2024
Compulsory Liquidation	Client communications	LCALERTAS	On demand	As of August 2024
	Prior blocking and unblocking after compulsory settlement	LCBLOQUEIO	On demand	As of August 2024
	Guarantee Allocation	LCALOCGARANTIAS	On demand	As of August 2024
	Position control	LCCONTROLE_AAAA-MM-DD	On demand	As of August 2024

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Process	Database or Audit Trail	Files	Frequency (b)	Obligation (a)
	Compulsory Liquidation	LCZERAGEM_AAAA-MM-DD	Bimonthly	As of August 2024
	Compulsory settlement parameters	PARAMETROLIQ	On demand	As of August 2024
Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction	Record of alert analysis conclusions (PLD/FTP)	REGISTRO_ALERTASPLD	Bimonthly	As of May 2024
	Clients with changes in risk profiles	ALTPERFIL	Bimonthly	As of May 2024
Supervision of Operations and Orders	Record of alert analysis conclusions (SOO)	REGISTRO_ALERTASSOO	Bimonthly	As of September 2024
Manage Custody of Assets and Positions	Custody Transfer Request made by the Client	TRANSFCUST	Bimonthly	As of September 2024
Settle Trade	Statement of clients' current account	GAB800 or EXTRATOCC	Quarterly	As of January 2025
	Projected client balance according to the operations performed	GAB807 or EXTRATOSP	Quarterly	As of January 2025
	Trades and costs of the broker note - Equities.	GAB107 (For Sinacor) or EXTRATOCCB	On demand	As of January 2025
	Trades and costs of the broker note - Derivatives.	GAB119 (For Sinacor) or EXTRATOCCF	On demand	As of January 2025
Investment Advisor (AI's)	Non-exclusive Investment Advisor	AINAOEXC	Monthly	As of April 2024
	Clients served by the Investment Advisor	AICLI	On demand	As of April 2024
Customer base	Client registration data, including indication of related persons and qualified investors or market professionals	DADCAD	Quarterly	As of July 2024
	Attorney-in-fact	PROCURADOR	Quarterly	As of July 2024
	Controller	CONTROLADOR	Quarterly	As of July 2024
	Administrator	ADMINISTRADOR	Quarterly	As of July 2024
	Parent company	CONTROLADORA	Quarterly	As of July 2024
	Subsidiary	CONTROLADA	Quarterly	As of July 2024

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Process	Database or Audit Trail	Files	Frequency (b)	Obligation (a)
	Affiliate	COLIGADA	Quarterly	As of July 2024
	INR data	DADOSINR	Quarterly	As of July 2024
	Relation of related person	PEVINC	Monthly	As of April 2024
	Risk Level for Registration Update	MAXICAD	Quarterly	As of July 2024
	Authorized issuers	EMISSORAUT	Quarterly	As of July 2024
Margin Account	Joining to the Margin Account product	CMADESAO	Quarterly	As of January 2025
	Clients operating Margin Account	CMOPER	Quarterly	As of January 2025
	List of financing and guarantees for clients who operated on the margin account	CMFINGAR	Quarterly	As of January 2025
	Operations carried out through a Margin Account	CTAMARGEM	Quarterly	As of January 2025
Execute Orders	List of category codes by account	EOCODCONT	On demand	As of October 2024
	Portfolios managed by the Participant	CICARTGER	On demand	As of October 2024
	Inclusion, change and cancellation of orders trail	ORDENS_AAAA-MM-DD	On demand	As of January 2025
	Order Summary Trail	RESUORD_YYYY-MM-DD	Quarterly	As of January 2025
	Session Purpose	FINASESSION	Quarterly	As of January 2025
	Record of occurrence of operations launched in the Error Account	LANCERRO	On demand	As of October 2024
Manage Risks	Pre-Operational Risk – Inclusion and change of limits	RISCOPRE_YYYY-MM-DD	On demand	As of September 2024
	Post-Operational Risk – Inclusion and change of limits	RISCOPOS	Quarterly	As of October 2024
Treasury/Current Account	Inclusion and maintenance of financial values manually entered into client accounts	LANCMANC	On demand	As of September 2024
Information Security	Administrative activities in systems	ADMINSIST	On demand	As of October 2024
	Scope systems user lists	USUARIOS	Quarterly	As of April 2024

Process	Database or Audit Trail	Files	Frequency (b)	Obligation (a)
	Trail of records of entry and exit access to trading platforms	ENTRADAESAIDA	On demand	As of October 2024
	List of employees (active, terminated and third parties)	COLABORADORES	Quarterly	As of April 2024
Infrastructure Support	Voice recording inventory / Extension list by issuer	INVENTARIOVOZ / RAMAL	On demand	As of December 2024
	Records of Unavailability of Order Recording Systems (Voice and Messaging)	INCIDENTES_CANAL	On demand	As of December 2024

(a)   The Layout submission to BSM is mandatory by the 10th business day of the month defined in the table.

(b)   Files defined as "on demand" must be implemented by Participants according to the date mentioned in the table above.

The Participant must meet the dates, standard and format of deliveries, as defined by BSM. Requests for extension of deadlines must be substantiated by the Participant, containing new dates and rationale for BSM's reassessment.

2.4 Applicability of Layouts

The Participant must send, an e-mail to the address bsm@supervisao.com.br, up to 30 days before submit the layout, with the title "Monitoramento de Dados – Aplicabilidade dos Processos", informing which layouts are not applicable or subject to monitoring by BSM, with their respective justifications.

2.5 Mandatory Delivery Schedule

Obligation	Process	Database or Audit Trail	Files
Since June 2023	Retail Liquidity Provider (RLP)	Activation of educational triggers	ACIONAMENTOGE
	Retail Liquidity Provider (RLP)	Submission of educational material	ENVIOMTE
Since July 2023	Retail Liquidity Provider (RLP)	Minimum margin parameterization trail	MARGEM
Since August 2023	Retail Liquidity Provider (RLP)	Opt-in and Opt-out	OPTIN_OPTOUT

Obligation	Process	Database or Audit Trail	Files
As of November 2023	Retail Liquidity Provider (RLP)	List of clients adhering to the use of the RLP	BASEOPTIN
As of April 2024	Investment Advisor (AI's)	Non-exclusive Investment Advisor	AINAOEXC
	Investment Advisor (AI's)	Clients served by the Investment Advisor	AICLI
	Customer base	Relation of related person	PEVINC
	Information Security	Scope systems user lists	USUARIOS
	Information Security	List of employees (active, terminated and third parties)	COLABORADORES
As of May 2024	PLD	Record of alert analysis conclusions	REGISTRO_ALERTASPLD
	PLD	Clients with changes in risk profiles	ALTPERFIL
As of July 2024	Customer base	Client registration data, including indication of related persons and qualified investors or market professionals	DADCAD
	Customer base	Attorney-in-fact	PROCURADOR
	Customer base	Controller	CONTROLADOR
	Customer base	Administrator	ADMINISTRADOR
	Customer base	Parent company	CONTROLADORA
	Customer base	Subsidiary	CONTROLADA
	Customer base	Affiliate	COLIGADA
	Customer base	INR data	DADOSINR
	Customer base	Risk Level for Registration Update	MAXICAD
	Customer base	Authorized issuers	EMISSORAUT
As of August 2024	Compulsory Liquidation	Client communications	LCALERTAS
	Compulsory Liquidation	Prior blocking and unblocking after compulsory settlement	LCBLOQUEIO
	Compulsory Liquidation	Guarantee Allocation	LCALOCGARANTIAS
	Compulsory Liquidation	Position control	LCCONTROLE_AAAA-MM-DD
	Compulsory Liquidation	Compulsory Liquidation	LCZERAGEM_AAAA-MM-DD

Obligation	Process	Database or Audit Trail	Files
	Compulsory Liquidation	Compulsory settlement parameters	PARAMETROLIQ
As of September 2024	Manage Custody of Assets and Positions	Custody Transfer Request made by the Client	TRANSFCUST
	Risk Management	Pre-Operational Risk – Inclusion and alteration of limits	RISCOPRE_YYYY-MM-DD
	Treasury/Current Account	Inclusion and maintenance of financial values manually entered into client accounts	LANCMANC
	SOO	Record of alert analysis conclusions	REGISTRO_ALERTASSOO
As of October 2024	Execute Orders	List of category codes by account	EOCODCONT
	Execute Orders	Portfolios managed by the Participant	CICARTGER
	Execute Orders	Session Purpose	FINASESSION
	Execute Orders	Record of occurrence of operations launched in the Error Account	LANCERRO
	Manage Risks	Post-Operational Risk – Inclusion and Change of Limits (Institutional clients only)	RISCOPOS
	Information Security	Administrative activities in systems	ADMINSIST
	Information Security	Trail of records of entry and exit access to trading platforms	ENTRADAESAIDA
As of November 2024	Suitability	Suitability Quiz Questions and Answers	QUESTIONARIO_SUITABILITY
	Suitability	Suitability questionnaire score	PONTUACAO_SUITABILITY
	Suitability	Suitability Questionnaire Profile	PERFIL_SUITABILITY
	Suitability	Client Investment Profile Base	TRILHA_SUITABILITY
	Suitability	Products Offered by Investment Profile	PRODUCTSSU
	Suitability	Risk term for non-compliant operations	DESENQUAD
	Suitability	Risk Term Content	TERMORISC
As of December 2024	Infrastructure Support	Voice recording inventory / Extension list by issuer	INVENTARIOVOZ/RAMAL
	Infrastructure Support	Records of Unavailability of Order Recording Systems (Voice and Messaging)	INCIDENTES_CANAL

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Obligation	Process	Database or Audit Trail	Files
As of January 2025	Settle Trade	Statement of clients' current account	GAB800 or EXTRATOCC
	Settle Trade	Projected client balance according to the operations performed	GAB807 or EXTRATOSP
	Settle Trade	Trades and costs of the broker note - Equities.	GAB107 (For Sinacor) or EXTRATOCCB
	Settle Trade	Trades and costs of the broker note - Derivatives.	GAB119 (For Sinacor) or EXTRATOCCF
	Margin Account	Joining to the Margin Account product	CMADESAO
	Margin Account	Clients operating Margin Account	CMOPER
	Margin Account	List of financing and guarantees for clients who operated on the margin account	CMFINGAR
	Margin Account	Operations carried out through a Margin Account	CTAMARGEM
	Execute Orders	Inclusion, change and cancellation of orders trail	ORDENS_AAAA-MM-DD
	Execute Orders	Order Summary Trail	RESUORD_YYYY-MM-DD

2.6 Data Storage at BSM

The data will not be stored in BSM and will be discarded after the information generation work. The Participant is responsible for storing the data according to current regulations.

2.7 Data Disposal

Data disposal is the process of fully destroying information, thus making any type of recovery impossible. In other words, after the disposal process, the data is considered irretrievable by anyone who subsequently has access to the file or environment where the information was stored.

Thus, data disposal is different from file deletion, where a file deleted from a device may be inaccessible to the end user, but the information remains, in some form, on the device's hard drive.

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PUBLIC INFORMATION

BSM follows the guidelines on the disposal of information generated or transmitted in its environments and systems, regardless of the storage medium, taking as parameters the B3 standards, current legislation, other regulations related to the topic and best management and information security practices.

3. Layouts and File Description

3.1 Retail Liquidity Provider (RLP)

3.1.1 Activation of Educational Triggers

File description: Records of the activation of alert triggers for financial results indicators for submitting educational material

Objective: Monitor whether educational material was sent for each trigger activation

File: ACIONAMENTOGE

Frequency: Monthly

Scope: First to last day of the previous month

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ",".	Yes
2	Nome Sistema	Identification of the system used	Text	-	No
3	ID	Trigger event identification	Text	See Table 1 (*)	Yes
4	Data	Trigger activation date	Date	yyyy-mm-dd	Yes
5	Hora	Trigger activation time	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	No
6	Usuário	Trigger activation User	Text	-	Yes
7	Código do cliente	Client code at B3	Text	Plain text, without check digits and without punctuations (".", "–" or ",").	Yes

Table 1 – Format and description of triggers	
Trigger ID (*)	**Trigger Description**
A	After the first day trade carried out by the client
B	After the first daily loss of more than R$ 1,000.00
C	The first time the client suffers losses of 10% of its assets

Table 1 – Format and description of triggers	
Trigger ID (*)	**Trigger Description**
D	The first time the client suffers losses of 25% of its assets
E	At the moment the first compulsory settlement is carried out by the Participant on behalf of the client
F	At the moment the fifth compulsory settlement is carried out by the Participant on behalf of the client.

3.1.2 Submission of Educational Material

<u>File description</u>: Records of submission of educational materials to clients through trigger activation

<u>Objective</u>: Monitor whether educational material was sent for each trigger activation

<u>File name</u>: ENVIOMTE

<u>Frequency</u>: Monthly

<u>Scope</u>: First to last day of the previous month

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ",".	Yes
2	ID	Trigger event identification	Text	See Table 1 below (*)	Yes
3	Descrição	Description of the activated trigger	Text	See Table 1 below (*)	Yes
4	Data	Date of release of educational material	Date	yyyy-mm-dd	Yes
5	Hora	Time of release of educational material	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
6	Usuário	User who sent the educational material	Text	-	Yes
7	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
8	Canal	Channel for sending educational material (E.g: Email, popup, etc.)	Text	Options: "E-mail", "Pop-up" or "Other"	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
9	Origem	Sender of the educational material submitted. (e.g.: broker@domain.com.br, etc.)	Text	Options: "the originating email" or "Other"	Yes
10	Destino	Recipient of the educational material submitted. (e.g.: client@domain.com.br, etc.)	Text	Options: "the destination email" or "Other" (*)	Yes

(*) Communicate multiple client emails on different rows, if applicable.

Table 1 – Format and description of triggers	
Trigger ID (*)	**Trigger Description**
A	After the first day trade carried out by the client
B	After the first daily loss of more than R$ 1,000.00
C	The first time the client suffers losses of 10% of its assets
D	The first time the client suffers losses of 25% of its assets
E	At the moment the first compulsory settlement is carried out by the Participant on behalf of the client
F	At the moment the fifth compulsory settlement is carried out by the Participant on behalf of the client

3.1.3 Minimum Margin Parameterization Trail

File description: Records of the minimum margin parameterization to be required by Index mini-contract (WIN) and Dollar mini-contract (WDO)

Objective: Monitor the value of the minimum margin parameter of Index mini-contract (WIN) and Dollar mini-contract (WDO) assets

File name: MARGEM

Frequency: Monthly

Scope: First to the last day of the previous month.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ",".	Yes

Ref:	Field	Description	Type	Format	Mandatory?
2	Nome Sistema	Identification of the system used to parameterize margins	Text	-	Yes
3	Data	Minimum margin setting date	Date	yyyy-mm-dd	Yes
4	Hora	Minimum margin setting time	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
5	Usuário	User who configured the minimum margin	Text	-	Yes
6	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	No
7	Ativo	Description of the parameterized asset (Mini Ibovespa Futures (WIN) and Mini U.S. Dollar Futures (WDO))	Text	-	Yes
8	IdValor/Quantidade	Description of the margin parameterization.	Text	Options: "Value" or "Quantity"	Yes
9	Valor/Quantidade (*)	Parameterized value or quantity for contract negotiation. (E.g.: 100.00 for WIN – 150.00 for WDO)	Number	With 2 decimal places separated by "," and without the currency identifier (R$, $, etc.)	Yes

(*) For systems that have parameterization by number of contracts, it is expected that the number of contracts parameterized for WIN and WDO will be recorded in the field.

3.1.4 Opt-in and Opt-out

File description: Record of the client's express opt-in to use the RLP as well as for its opt-out, both for the derivative market and the stock market.

Objective: Monitor whether there were client transactions with the RLP product before their opt-in and whether there were transactions with the RLP product after their opt-out

File name: OPTIN_OPTOUT

Frequency: Quarterly

Scope: Covering the basis of the previous 3 months

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Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "– " or ","	Yes
2	Nome Sistema	Identification of the system used to register opt-in and opt-out	Text	-	Yes
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	AccountId	Identification of the client's user in the Participant's system.	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
5	EventType	type of event, RLP order opt-in or opt-out	Text	"in" or "out"	Yes
6	OptType [1]	segment type derivatives , equities or both	Text	"derivatives", "equities" or "all" (*)	See Table 2
7	EventTime	timestamp of the moment the client signed up or discontinued the RLP order	Date (BRT)	yyyy-mm-dd hh:mm:ss	Yes
8	ProcessTime [2]	timestamp of the time the client request was processed in the Participant's OMS	Date (BRT)	yyyy-mm-dd hh:mm:ss	See Table 2
9	EventOrderId [3]	identification of the person responsible for joining or discontinuing the RLP order	Text	Inform the user	See Table 2

(*) In case of ALL, the field can also be forwarded blank

Table 2 – Applicability of fields	
Ref:	**Details**
[1]	Mandatory item only in the event of opt-in and opt-out specific to each segment. Non-mandatory item if the Participant uses generic opt-in and opt-out, that is, that they serve both the Derivatives and Equities segments.
[2]	If opt-in or opt-out are subsequently processed in the Participant's order management system, either through a daily routine or manually, for example, the base must include field 6 ("ProcessTime") containing the timestamp where the client request was processed internally. If opt-in and opt-out processing is carried out at the same time that the client subscribed or discontinued the RLP offer (real time), fill in the field with the same information as *EventTime*.
[3]	If the Participant has alternative flows through service channels (e.g. chat, telephone, email) to carry out the opt-in or opt-out, the base must include field 7 ("*EventOrderId*") containing the person responsible for adhesion or discontinuation on behalf of the client.

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3.1.5 List of Clients adhering to the use of RLP

File description: List of clients on the base date of "D-1", who granted their authorization to use the RLP (opt-in). Example: For the quarter from November to January, extract the list of customers in the position of October 31

Objective: Check for possible false positives in the analysis carried out for cases in which the client granted authorization to use the RLP (opt-in) in the period prior to the evaluated quarter

File name: BASEOPTIN

Frequency: Quarterly

Scope: Photo on the base date of "D-1" at the beginning of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "– " or ","	Yes
2	Nome Sistema	Identification of the system used to register opt-in and opt-out	Text	-	Yes
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	AccountId	Identification of the client's user in the Participant's system	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes

3.2 Suitability

3.2.1 Suitability Questionnaire Questions and Answers

File description: Record of questions and respective answers from the Suitability questionnaire

Objective: Monitor the allocation of the investment profile according to the questionnaire defined by the Participant

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File name: QUESTIONARIO_SUITABILITY

Frequency: Quarterly

Scope: List covering the basis of the previous 3 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Identification of the system used to fill out the form	Text	-	No
3	Código Cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	Versão do questionário	Version of the questionnaire answered by the Client	Text	-	No (*)
5	ID_Pergunta	Question identification	Text	-	Yes
6	ID_Resposta	Identification of the option selected by those who filled out the form	Number	-	Yes
7	Pontuação	Score/Weight of the answer	Number		Yes
8	Perfil	Profile Name assigned to the client	Text	-	Yes
9	Usuário	User responsible for filling out the questionnaire (client or Participant internal user)	Text	-	Yes
10	Data	Date of completion of the questionnaire	Date	yyyy-mm-dd	Yes
11	Hora	Time of questionnaire filling out	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes

(*) Mandatory only if the Participant has, during the evaluated period, more than one version of the questionnaire.

Fields 5 (ID_PERGUNTA) and 6 (ID_RESPOSTA) must follow the standard established in layout 3.2.2.

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3.2.2 Suitability Questionnaire Score

File description: Score of answers to the Suitability questionnaire

Objective: Monitor the allocation of the investment profile according to the questionnaire defined by the Participant

File name: PONTUACAO_SUITABILITY

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Mandatory?
1	ID_Pergunta	Question identification	Text	Yes
2	Pergunta	Question to the client	Text	Yes
3	ID_Resposta	Identification of the answer option selected by the client.	Text	Yes
4	Opção_Resposta	Answer options for each question.	Text	Yes
5	Pontuação	Score/Weight of the answer	Number	Yes
6	Versão do questionário	Questionnaire version	Text	Yes

Observation: Forward the data from this table on the same dates as the table above.

3.2.3 Suitability Questionnaire Profile

File description: Suitability questionnaire profiles

Objective: Monitor the allocation of the investment profile according to the questionnaire defined by the Participant

File name: PERFIL_SUITABILITY

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Mandatory?
1	Pontuação mínima	Minimum score for the profile	Number	Yes
2	Pontuação máxima	Maximum score for the profile	Number	Yes
3	Perfil	Profile Name	Text	Yes

Ref:	Field	Description	Type	Mandatory?
4	Versão do questionário	Questionnaire version	Text	Yes

3.2.4 Client Investment Profile Base

File description: All client investment profile records (in the listed market) considering the answers to the Suitability questionnaire

Objective: Monitor the investment profile assigned to clients

File name: TRILHA_SUITABILITY

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the system used to register the investment profile	Text	-	No
3	Data	Date of completion of the questionnaire	Date	yyyy-mm-dd	Yes
4	Hora	Time of questionnaire filling out	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
5	Código Cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
6	Perfil	Client investment profile	Text	-	Yes
7	Usuário	User who inserted or changed the profile (client or Participant internal user)	Text	-	Yes

3.2.5 Products Offered by Investment Profile

File description: List of products offered for each type of investment profile

Objective: Monitor products offered to clients outside the investment profile

File name: PRODUCTSSU

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Perfil *Suitability*	Enter the type of profile	Text	-	Yes
2	Produtos	Products available for the investment profile	Text	See 'Products Table' (*) (***)	Yes
3	Percentual	Percentage of products by Profile	Number	-	Yes (**)

(*) If the profile has access to more than one product, fill in one (1) product per row in the available file and replicate the content without changing it to other columns and only change the field in question.
(**) Applicable only to Participants who define the percentage of product per profile.
(***) Insert one row for each product

Table Products – Products offered by B3	
ID	**Product**
AV	**Spot Market (stocks)**
FD	**Funds**
ET	**ETF**
TR	**Term**
OC	**BOV Call Options**
OP	**BOV Put Options**
OB	**BMF Options**
FT	**Futures**

3.2.6 Risk term for non-compliant operations

File description: Risk term accepted by the client for non-compliant operations

Objective: Monitor communications to clients regarding profile non-compliance

File name: DESENQUAD

Frequency: Quarterly

Scope: List covering the basis of the previous 3 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome da ferramenta	Tool name	Text	-	No
3	Data	Date on which the client accepted the risk term for the non-compliant transaction.	Date	yyyy-mm-dd	Yes
4	Hora	Time at which the client accepted the risk term for the non-compliant transaction.	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
5	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
6	AccountId	Identification of the client's user in the Participant's system	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
7	Ativo desenquadrado	Noncompliant asset code	Text	-	Yes
8	Código do termo	Risk Term Code	Text	(*)	Yes

(*) The field must be filled with the same code as field 1 of the TERMORISC layout

3.2.7 Risk Term Content

File description: Risk term made available to the client in non-compliant operations

Purpose: Monitoring of communications to clients regarding non-compliance with the profile

File name: TERMORISC

Frequency: Quarterly

Scope: Snapshot on the "D-1" date of the beginning of the evaluated quarter.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código do termo	Risk Term Code	Text	-	Yes
2	Conteúdo do termo	Risk Term Content	Text	-	Yes

3.3 Compulsory Liquidation

3.3.1 Communications to clients

File description: Communications made to clients, prior to and after the compulsory liquidation procedure

Objective: Send communication on the deterioration of guarantees before and after the compulsory liquidation procedure

File name: LCALERTAS

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Identification of the system used to communicate with the client	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	Data	Communication date	Date	yyyy-mm-dd	Yes
5	Hora	Communication time	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
6	Alerta	Alert type (Limit 1, Limit 2 or Compulsory Liquidation)	Text	-	Yes
7	Forma de Transmissão	Alert transmission method	Text	Options: "Email", " Pop-up", "SMS" or "Other".	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
8	Mensagem	Alert text sent to the client or template code used (to be validated during audits)	Text	-	Yes

If the Participant uses a website/portal to communicate the deterioration of guarantees before and after the compulsory settlement procedure, we request that the layout be filled out as follows:

Ref:	Field	Suggestion
1	Código Participante	Insert the participant's code.
2	Nome Sistema	Insert the name of the system used to communicate with the client
3	Código do cliente	Leave as 99999 to avoid validation issues
4	Data	Date of the website/portal monitoring
5	Hora	Time of the website/portal monitoring (if monitoring is every 5 minutes, provide a line for every 5 minutes).
6	Alerta	Leave as 99999 to avoid validation issues
7	Forma de Transmissão	Fill in as "Other - Portal/Site".
8	Mensagem	Fill in as "Portal/Site - Available" or "Portal/Site - Unavailable".

3.3.2 Blocking and Unblocking for the Client's Compulsory Liquidation

File description: Data on trading blocking carried out for clients in the process of compulsory liquidation and subsequent unblocking

Objective: Monitor the trading blocking prior to the compulsory liquidation procedure and subsequent client unblocking

File name: LCBLOQUEIO

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Description of the tool the client was blocked from	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes

Ref:	Field	Description	Type	Format	Mandatory?
4	Data Bloqueio	Client trading block date prior to the start of the compulsory liquidation procedure by the Participant	Date	yyyy-mm-dd	Yes
5	Hora Bloqueio	Client trading block time prior to the start of the compulsory liquidation procedure by the Participant	Time (BRT)	hh:mm:ss,sss	Yes
6	Data Desbloqueio	Date of unblocking client trading by the Participant after the compulsory settlement procedure and recomposition of guarantees and limits by the client	Date	yyyy-mm-dd	Yes
7	Hora Desbloqueio	Unblocking time (BRT) for client trading by the Participant after the compulsory settlement procedure and recomposition of guarantees and limits by the client	Time (BRT)	hh:mm:ss,sss	Yes
8	Data Desbloqueio	Date on which compulsory liquidation was performed	Date	yyyy-mm-dd	Yes
9	Hora Liquidação	Time at which compulsory liquidation was performed	Time (BRT)	hh:mm:ss,sss	Yes
10	ID da ordem	Zeroing order ID	Text	-	Yes

3.3.3 Guarantee Allocation

File description: Data on guarantees allocated by clients to carry out operations

Objective: Monitor clients' guarantee allocation records.

File name: LCALOCGARANTIAS

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the system used to manage guarantees	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				without punctuations ("." , "–" or ",")	
4	Data	Date of allocation of guarantees for carrying out operations by the client	Date	yyyy-mm-dd	Yes
5	Hora	Time of allocation of guarantees for carrying out operations by the client	Time (BRT)	hh:mm:ss,sss	Yes
6	Garantia Alocada	Value of guarantees or limit allocated for carrying out operations by the client. Note: If the allocation is carried out in values per asset, the trail must demonstrate the total defined value in this field, and the description of the assets allocated as collateral in the "Allocated Assets" field. If the allocation is carried out in terms of number of assets, the trail must demonstrate the defined number of assets for each of them in this field (E.g.: 1 WDO contract, 2 WIN contracts)	Number	With 2 decimal places separated by ","	Yes
7	Ativos Alocados	Description of the assets allocated in guarantee by the Participant for the execution of operations by the client	Text	Enter each client asset on a separate row.	Yes
8	Usuário	User who carried out the guarantee allocation (client or internal user of the Participant)	Text	-	Yes

3.3.4 Position Control

File description: Data on the controls carried out by the Participant to open, close, reduce or increase positions by clients

Objective: Monitor required guarantee X guarantee allocated at the time of opening the position

File name: LCCONTROLE_YYYY-MM-DD (Send files separated by day)

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Description of the risk tool responsible for validating the position opening or increase	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	Data	Date on which the order is sent by the client	Date	yyyy-mm-dd	Yes
5	Hora	Time the order was sent by the client	Time (BRT)	hh:mm:ss,sss	Yes
6	Validade	Validity period of the Order	Date	yyyy-mm-dd	Yes
7	ID da ordem	ID of the order that consumed the guarantee (OrderID)	Text	-	Yes
8	Ativo	Trading code of the asset subject to the order	Text	-	Yes
9	Quantidade	Number of assets in the order	Number	With 2 decimal places separated by ","	Yes
10	Preço	Order price	Number	With 2 decimal places separated by ","	Yes
11	Natureza	Type of order	Text	Options: "Buy" or "Sell"	Yes
12	Limite Pré-Operacional	Pre-operational limit of the client when sending the order to open or increase the position	Number	With 2 decimal places separated by ","	Yes
13	Margens Depositadas	Margin values deposited by the client	Number	With 2 decimal places separated by ","	Yes
14	Garantias Exigidas	Guarantee required from the client to open or increase the position (E.g. Minimum margins for futures contracts)	Number	With 2 decimal places separated by ","	Yes
15	Valor	Amount of guarantee consumed (margin deposited – guarantee required)	Number	With 2 decimal places separated by ","	Yes
16	Validação da ordem	Message indicating approval or rejection of the client order, if the	Text	-	Yes

Ref:	Field	Description	Type	Format	Mandatory?
		client does not have a sufficient guarantee limit			
17	Posição	Validate whether the order aims to increase or reduce the position	Text	"Yes or "No"	Yes

3.3.5 Compulsory Liquidation

<u>File description</u>: Data on controls carried out by the Participant for compulsory liquidation of positions

<u>Objective</u>: Monitor compulsory liquidation in accordance with the rules defined by the Participant

<u>File name</u>: LCZERAGEM_YYYY-MM-DD (Send files separated by day)

<u>Frequency</u>: Bimonthly

<u>Scope</u>: List covering the basis of the previous 2 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the control system for compulsory liquidation	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	Data	Compulsory liquidation date	Date	hh:mm:ss,sss	Yes
5	Hora	Compulsory liquidation time	Time (BRT)	yyyy-mm-dd	Yes
6	Garantias Exigidas	Value of the guarantees required from the client, necessary for the maintenance of their position at the time of mandatory settlement	Number	With 2 decimal places separated by ","	Yes
7	Garantias Disponíveis	Value of the client's available guarantees at the time of compulsory liquidation	Number	With 2 decimal places separated by ","	Yes
8	Percentual de Perda / consumo	Percentage of loss considered by the Participant at the time they initiated the mandatory settlement of the client's position	Number (two decimal places)	-	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
9	ID da ordem	ID of the order that consumed the guarantee (OrderID)	Text	-	Yes
10	Percentual de zeragem	Percentage of zeroing defined in the Participant's policy for the activation of the zeroing robot	Number (two decimal places)	-	Yes
11	Sender location	Sender Location used in compulsory liquidation	Text	-	Yes
12	Usuário	User used for zeroing the position	Text	-	Yes
13	Sessão	Session used for zeroing the position	Text	-	Yes

3.3.6 Compulsory Liquidation Parameterizations

File description: Data on the criteria adopted by the Participant to carry out the compulsory liquidation of clients

Objective: Monitor compliance of compulsory liquidation with the rules defined by the Participant (Risk Routine)

File name: PARAMETROLIQ

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the control system for compulsory liquidation	Text	-	No
3	L1	Percentage of guarantee consumption that triggers threshold 1 communication	Number (two decimal places)	-	Yes
4	Data_L1	Date of L1 parameterization	Date	hh:mm:ss or hh:mm:ss,sss	Yes
5	Hora_L1	Time of L1 parameterization	Time (BRT)	yyyy-mm-dd	Yes
6	L2	Percentage of guarantee consumption that triggers the communication of limit 2	Number (two decimal places)	-	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
7	Data_L2	Date of L2 parameterization	Date	hh:mm:ss or hh:mm:ss,sss	Yes
8	Hora_L2	Time of L2 parameterization	Time (BRT)	yyyy-mm-dd	Yes
9	Consumo	Percentage of guarantee consumption for client classification	Number (two decimal places)	-	Yes
10	Data_C	Date of Consumption parameterization	Date	hh:mm:ss or hh:mm:ss,sss	Yes
11	Hora_C	Time of Consumption parameterization	Time (BRT)	yyyy-mm-dd	Yes

3.4 Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction ("AML/CFT")

3.4.1 Alerts and Records of AML/CFT Alert Analysis Conclusions

File description: All alerts generated, regardless of whether they were analyzed, in the period recording the conclusion of AML/CFT monitoring analyzes

Objective: Monitor analyzes generated and the deadline for analysis conclusions after the alert is triggered (AML/CFT)

File name: REGISTRO_ALERTASPLD

Frequency: Bimonthly

Scope: Base of 2 months, starting from 2 months prior to the request date, as per the example below:

Scope of Submission	Base that should be sent to BSM
May, 2024	Alerts generated in March, 2024
July, 2024	Alerts generated in March, 2024 and April, 2024*
September, 2024	Alerts generated in May, 2024 and June, 2024
November, 2024	Alerts generated in July, 2024 and August, 2024

(*) Due to the change in the scope of the files, in May 2024 the scope will be maintained according to the layout manual 2.0 and BSM will only evaluate the formatting of the files. Starting in July 2024, tests will be conducted to assess the timeline for the conclusions of the analyses.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the alert analysis recording system	Text	-	No
3	Data Acionamento	Alert triggering date	Date	yyyy-mm-dd	Yes
4	Forma análise	Detail the form of cpf/cnpj analysis or client code	Number	Cpf/cnpj = "0" or Client Code = "1"	Yes
5	Código Cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes (****)
6	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN)	Text	Plain text without ".", "–" or ","	Yes (*) (****)
7	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "–" or ","	Yes (*) (****)
8	Código 88	Client code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "–" or ","	Yes (*) (****)
9	Nome	Client name	Text	-	No
10	Usuário	User responsible for recording alert analysis conclusions	Text	-	Yes
11	Parâmetro alertado	Alerted parameter	Text	-	Yes (*****)
12	Inciso	Item alerted	Text	-	Yes
13	Análise realizada	Analysis of the alerted parameter/section	Text	-	Yes (**)
14	Conclusão da análise	Conclusion of the analysis of the alerted parameter/section	Text	-	Yes (**)
15	Providência	Result of the action taken by the Participant	Number	Filed = "0" or communicated to COAF = "1"	Yes

Ref:	Field	Description	Type	Format	Mandatory?
16	Classificação de risco	Risk classification of the alert issued	Text	-	No
17	Data Registro	Analysis completion record date	Date	yyyy-mm-dd	Yes (**)
18	Data comunicação	Date of communication to COAF	Date	yyyy-mm-dd	Yes (***)
19	Campo livre	Free use field of the Participant for internal references (if necessary).	Text	-	No

(*) Mandatory for the type of client (e.g.: Individual, CPF (SSN) field required)
(**) Mandatory only for alerts that have been analyzed and concluded.
(***) Mandatory only for analyzes that were reported to COAF.
(****) mandatory data depending on the answer in column 4 (analysis form) - cpf/cnpj (SSN/EIN) or Client code.
(*****) In cases where the alert was generated for more than one client, insert one row per client repeating the alert data.

3.4.2 Clients with changes in risk profiles

File description: Complete list of clients and their respective risk profile changes.

Objective: Continuous monitoring of the Client's risk profile

File name: ALTPERFIL

Frequency: Bimonthly

Scope: Photo on the base date of "D-1"

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the risk profile system	Text	-	No
3	Código Cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN)	Text	Plain text without ".", "–" or ","	No
5	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "–" or ","	No

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Ref:	Field	Description	Type	Format	Mandatory?
6	Código 88	Client code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "–" or ","	No
7	Classificação atual	Current Risk Classification	Text	-	Yes
8	Data atual	Date of current risk classification	Date	yyyy-mm-dd	Yes
9	Classificação anterior	Previous risk classification	Text	-	Yes
10	Data anterior	Date of previous Risk classification	Date	yyyy-mm-dd	Yes

3.5 Supervision of Operations and Orders

3.5.1 Alerts and Record of Completed Analysis of Operations and Orders Supervision Alerts

File description: All alerts generated, regardless of whether they were analyzed, in the period recording the conclusion of Operations and Orders Supervision monitoring analyzes

Objective: Monitor analyzes generated and the deadline for analysis conclusions after the alert is triggered

File name: REGISTRO_ALERTASSOO

Frequency: Bimonthly

Scope: Base of 2 months, starting from 2 months prior to the request date, as per the example below:

Period for sending the bases.	Base that should be forwarded to BSM.
September, 2024	Alerts generated in July, 2024 and August, 2024 (*)
November, 2024	Alerts generated in July, 2024 and August, 2024
January, 2025	Alerts generated in September, 2024 and October, 2024
March, 2025	Alerts generated in November, 2024 and December, 2024

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(*) Due to the change in the scope of the files, in September 2024 the scope will be maintained according to the layout manual 2.0 and BSM will only evaluate the formatting of the files. Starting in November 2024, tests will be conducted to assess the timeline for the conclusions of the analyses.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the alert analysis recording system	Text	-	No
3	Data Acionamento	Alert triggering date	Date	yyyy-mm-dd	Yes
4	Forma análise	Detail the form of cpf/cnpj analysis or client code	Number	Cpf/cnpj = "0" or Client Code = "1"	Yes
5	Código Cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes (***)
6	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN)	Text	Plain text without ".", "–" or ","	Yes (*) (***)
7	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "–" or ","	Yes (*) (***)
8	Código 88	Client code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "–" or ","	Yes (*) (***)
9	Name	Client name	Text	-	No
10	Usuário	User responsible for recording alert analysis conclusions	Text	-	Yes
11	Parâmetro alertado	Alerted parameter	Text	-	Yes
12	Inciso	Item alerted	Text	-	Yes (****)
13	Análise realizada	Analysis of the alerted parameter/section	Text	-	Yes (**)
14	Conclusão da análise	Conclusion of the analysis of the alerted parameter/section	Text	-	Yes (**)
15	Classificação de risco	Risk classification of the alert issued	Text	-	No
16	Data Registro	Analysis completion record date	Date	yyyy-mm-dd	Yes (**)

Ref:	Field	Description	Type	Format	Mandatory?
17	Data comunicação administração	Date of communication to the Senior Administration	Date	yyyy-mm-dd	No
18	Data comunicação regulador	Date of communication to Regulatory bodies	Date	yyyy-mm-dd	No
19	Regulador comunicado	Notified Regulatory Body	Text	CVM = "0" BSM "1" or CVM and BSM = "2"	No
20	Campo livre	Free use field of the Participant for internal references (if necessary).	Text	-	No

(*) Mandatory for the type of client (e.g.: Individual, CPF (SSN) field required)
(**) Mandatory only for alerts that have been analyzed and concluded.
(***) mandatory data depending on the answer in column 4 (analysis form) - cpf/cnpj (SSN/EIN) or Client code.
(****) In cases where the alert was generated for more than one client, insert one row per client repeating the alert data.

3.6 Manage Custody

3.6.1 Custody Transfer Request made by the Client

File description: Data on securities custody transfer requests made by the client (same or different ownership)

Objective: Assess whether the transfers were carried out within the regulatory deadline.

File name: TRANSFCUST

Frequency: Bimonthly

Scope: List covering the basis of the previous 2 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code (Custodian)	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Custody transfer system name	Text	-	No
3	Data Solicitação	Custody transfer request date	Date	yyyy-mm-dd	Yes
4	Hora Solicitação	Custody transfer request time	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
5	Usuário	User used to request custody transfer	Text	-	Yes
6	Código do cliente origem	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
7	Código do cliente destino	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
8	Participante destino	Destination participant code (custodian)	Text	Plain text without ".", "–" or ","	Yes
9	Ativo	Asset requested for custody transfer	Text	(a)	Yes
10	Código ISIN	Instrument's ISIN Code	Text	Plain text, without check digit and without punctuations (".", "–" or ",") (a)	Yes
11	Quantidade	Amount requested for custody transfer per asset	Number	(a)	Yes
12	Ocorrências	Options regarding the status of requests	Text	See "Status Table"	Yes
13	Data Ocorrência	Date of occurrence (status table)	Date	yyyy-mm-dd	Yes
14	Hora Ocorrência	Time of occurrence (status table)	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	No
15	Motivo	Description of the reason in case of a rejected, canceled or pending request (client/Participant)	Text	-	Only if Status = "R", "C", "PP" or "PC"
16	ID da solicitação de transferência	Transfer request number/code	Number	-	Yes
17	Prazo	Estimated deadline for completing the process	Date	yyyy-mm-dd	Only if Status = "I" or "PP"

(a)   Insert a new row for each occurrence within the multiple field, replicate the content without changes to other columns and change only the field in question;

Status Table – Format and description of statuses	
Information	**Request status description**
I	Inserted
R	Rejected
C	Canceled
PP	Participant Pending
PC	Pending Client
PS	Issue resolved by the Client
CO	Concluded

3.7 Settle Trade

3.7.1 Statement of clients' current account

File Description: Statement of clients' current account

Objective: Monitor debt balances of clients

File name: GAB800 (For Sinacor) or EXTRATOCC (For other systems)

Frequency: Quarterly

Scope: List covering the basis of the previous 3 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	System name to extract the current account statement	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	Nome do Cliente	Client Name	Text	-	Yes
5	Endereço	Address	Text	-	Yes
6	Endereço complemento	Complement	Text	-	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
7	Data Referência	Reference date	Date (BRT)	yyyy-mm-dd	Yes
8	Data Liquidação	Settlement date	Date (BRT)	yyyy-mm-dd	Yes
9	Descrição do Lançamento	Entry description	Text	-	Yes
10	Saldo Inicial	Opening balance for the month of the reference date	Number	With 2 decimal places separated by ","	Yes
11	Sinal saldo Inicial	D / C	Text	D / C	Yes
12	Valor Lançamento	Initial value of the entry for the month of the reference date	Number	With 2 decimal places separated by ","	Yes
13	Sinal valor Lançamento	D / C	Text	D / C	Yes

3.7.2 Projected Balance According to Operations Performed

File Description: Projected client balance according to the operations performed

Objective: Client balance monitoring

File: GAB807 (For Sinacor) or EXTRATOSP (For other systems)

Frequency: Quarterly

Scope: List covering the basis of the previous 3 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	System name to extract projected balance	Text	-	No
3	Data Referência	File reference date	Date (BRL)	yyyy-mm-dd	Yes
4	Código Assessor	Advisor Code	Number	-	Yes
5	Código do cliente	Client code at B3	Text	Plain text, without check digit and	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
				without punctuations (".", "–" or ",")	
6	Saldo Total	Total Client Balance	Number	With 2 decimal places separated by ","	Yes
7	Sinal do Total	D - Negative balance / C - positive balance	Text	D - Negative balance / C - positive balance	Yes
8	Saldo Disponível	Client's available balance	Number	With 2 decimal places separated by ","	Yes
9	Sinal do Disponível	D - Negative balance / C - positive balance	Text	D - Negative balance / C - positive balance	Yes
10	Saldo Total Projetado	Saldo total projetado do cliente	Number	With 2 decimal places separated by ","	Yes
11	Sinal do Total Projetado	D - Negative balance / C - positive balance	Text	D - Negative balance / C - positive balance	Yes
12	Saldo Projetado D1	D1 Client projected total balance	Number	With 2 decimal places separated by ","	Yes
13	Sinal do Projetado D1	D - Negative balance / C - positive balance	Text	D - Negative balance / C - positive balance	Yes
14	Saldo do Projetado D2	D2 Client projected total balance	Number	With 2 decimal places separated by ","	Yes
15	Sinal Projetado D2	D - Negative balance / C - positive balance	Text	D - Negative balance / C - positive balance	Yes
16	Saldo do Projetado D3	D3 Client projected total balance	Number	With 2 decimal places separated by ","	Yes
17	Sinal do Projetado D3	D - Negative balance / C - positive balance	Text	D - Negative balance / C -	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				positive balance	
18	Saldo Projetado D4	D4 Client projected total balance	Number	With 2 decimal places separated by ","	Yes
19	Sinal do Projetado D4	D - Negative balance / C - positive balance	Text	D - Negative balance / C - positive balance	Yes
20	Saldo Projetado D5	D5 Client projected total balance	Number	With 2 decimal places separated by ","	Yes
21	Sinal do Projetado D5	D - Negative balance / C - positive balance	Text	D - Negative balance / C - positive balance	Yes
22	Saldo Projetado DN	DN Client projected total balance	Number	With 2 decimal places separated by ","	Yes
23	Sinal Projetado DN	D - Negative balance / C - positive balance	Text	D - Negative balance / C - positive balance	Yes

3.7.3 Trades and cost of broker note – Equities

<u>File Description</u>: Summary of business and costs of the broker note - Equities

<u>Objective</u>: Operations monitoring

<u>File</u>: GAB107 (For Sinacor) or EXTRATOCCB (For other systems)

<u>Frequency</u>: On demand

<u>Scope</u>: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the system to extract brokerage costs Equities	Text	-	No

Ref:	Field	Description	Type	Format	Mandatory?
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	CPF/CNPJ	CNPJ (EIN); Client CPF [SSN] (PF, PJF, PJNF, FI)	Text	Plain text without ".", "–" or ","	Yes
6	Data Pregão	Data do pregão	Date (BRL)	yyyy-mm-dd	Yes
7	Número Nota	Broker note number	Number	-	Yes
8	Código Assessor	Advisor Code	Text	-	Yes
9	Natureza	Indication of debit or credit of net and gross amounts	Text	"Debit or credit"	Yes
10	Vendas a Vista	Total cash sales in the auction	Number	With 2 decimal places separated by ","	Yes
11	Compras a Vista	Total cash purchases in the auction	Number	With 2 decimal places separated by ","	Yes
12	Opções Compra	Total options purchases on the trading floor	Number	With 2 decimal places separated by ","	Yes
13	Opções Venda	Total options sales on the trading floor	Number	With 2 decimal places separated by ","	Yes
14	Outras Operações	Other Variable Income operations carried out on the trading floor	Number	With 2 decimal places separated by ","	Yes
15	Volume	Total buying and selling trading volume in the session	Number	With 2 decimal places separated by ","	Yes
16	Valor Bruto	Gross value of the broker note	Number	With 2 decimal places	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				separated by ","	
17	Taxas/Corretagem	Brokerage cost per transaction	Number	With 2 decimal places separated by ","	Yes
18	Emolumentos	Purchase or sale transaction trading fees per trade	Number	With 2 decimal places separated by ","	Yes
19	Valor Líquido	Net value of the broker note	Number	With 2 decimal places separated by ","	Yes

3.7.4 Trades and cost of broker note – Derivatives

File Description: Summary of trades and costs of the broker note - Derivatives

Objective: Operations monitoring

File: GAB119 (For Sinacor) or EXTRATOCCF (For other systems)

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Name of the system to extract brokerage costs Equities	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	CPF/CNPJ	CNPJ (EIN); Client CPF [SSN] (PF, PJF, PJNF, FI)	Text	Plain text without ".", "–" or ","	Yes
6	Data Pregão	Data do pregão	Date (BRL)	yyyy-mm-dd	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
7	Número Nota	Broker note number	Number	-	Yes
8	Código Assessor	Advisor Code	Text	-	Yes
9	Natureza	Indication of debit or credit of net and gross amounts	Text	"Debit or credit"	Yes
10	Vendas a Vista	Total cash sales in the auction	Number	With 2 decimal places separated by ","	Yes
11	Compras a Vista	Total cash purchases in the auction	Number	With 2 decimal places separated by ","	Yes
12	Opções Compra	Total options purchases on the trading floor	Number	With 2 decimal places separated by ","	Yes
13	Opções Venda	Total options sales on the trading floor	Number	With 2 decimal places separated by ","	Yes
14	Volume	Total buying and selling trading volume in the session	Number	With 2 decimal places separated by ","	Yes
15	Valor Bruto	Gross value of the broker note	Number	With 2 decimal places separated by ","	Yes
16	Taxas/Corretagem	Brokerage cost per transaction	Number	With 2 decimal places separated by ","	Yes
17	Emolumentos	Purchase or sale transaction trading fees per trade	Number	With 2 decimal places separated by ","	Yes
18	Ajuste Posição	Day trade position adjustment	Number	With 2 decimal places separated by ","	Yes

Ref:	Field	Description	Type	Format	Mandatory?
19	Valor Líquido	Net value of the broker note	Number	With 2 decimal places separated by ","	Yes

3.8 Investment Advisors (AI's)

3.8.1 Non-exclusive Investment Advisor

File description: List of non-exclusive AIs

Objective: Monitor operations of related persons

File name: AINAOEXC

Frequency: Monthly

Scope: Photo on the base date of "D-1" at the end of the month evaluated

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome AI	Name of the individual investment advisor	Text	-	Yes
3	CPF AI	IA CPF (SSN)	Text	Plain text without ".", "–" or ","	Yes
4	Cod AI	IA code registered in the Participant's system (e.g.: Sinacor, proprietary system, etc.)	Text	-	Yes
5	PJ do AI	Name of the IA Company	Text	-	Yes. If the contractual relationship is not via the individual IA
6	CNPJ do AI	CNPJ of IA Company	Text	Plain text without ".", "–" or ","	Yes. If the contractual relationship is not via the individual IA
7	Profissional de Operações AI	Fill in with "Y/, if the IA is an operator or "N" if he/she	Text	Y/N	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
		performs a role other than operator			
8	Operações	Institution Code (B3) in which the AI (investment advisor) is authorized to conduct operations on its own behalf, personal investments (as per CVM Resolution 35)	Number	-	Yes (*)
9	Data Início acordo	Start date of the agreement to carry out operations at the field 8 institution	Date	yyyy-mm-dd	Yes

(*) Field with multiple data: Insert a new row for each occurrence within the multiple field, replicate the content without changes to other columns and change only the field in question;

3.8.2 Clients Served by the Investment Advisors (AI's)

<u>File description</u>: Record of clients served by the IA (whether the IA is exclusive or not)

<u>Indicator:</u> Operations monitoring

<u>File name</u>: AICLI

<u>Frequency:</u> On demand

<u>Scope</u>: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome AI	Name of the individual investment advisor	Text	-	Yes
3	CPF AI	CPF (SSN) number of the individual Investment Advisor; no dots and no dashes	Text	Plain text without ".", "–" or ","	Yes
4	CNPJ AI	CNPJ (EIN) number of the Investment Advisor; no dots and no dashes	Text	Plain text without ".", "–" or ","	Yes. If the contractual relationship is not via the individual IA
5	Localidade	Inform the location of the individual investment advisor	Text	"M" – Participating Headquarters, "F" – Participating Branch or "E"	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
				– External / IA Office	
6	Nome Cliente	Full name of the client served by the IA	Text	-	Yes (*)
7	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes (*)
8	CPF/CNPJ	CNPJ or CPF of the client	Text	Plain text without ".", "–" or ","	Yes (*)
9	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without ".", "–" or ","	Yes (*)
10	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without ".", "–" or ","	Yes (*)

(*) Field with multiple data: Insert a new row for each occurrence within the multiple field, replicate the content without changes to other columns and change only the field in question;

3.9 Client Registration

3.9.1 Client Registration Data, including indication of Related Persons and Qualified Investors

File description: Client registration data

Objective: Monitor the completeness of registration data between the Participant's systems and the B3 System (Sincad)

Filling Instruction: Necessary filters in the "Layout" column to fill in the registration database:

i) Fields with the word PF: Applicable for registration of Individuals;

ii) Fields with the word PJF: Applicable for registration of Financial Legal Entities (local and non-resident clients);

iii) Fields with the word PJNF: Applicable for registration of Non-Financial Legal Entities (local and non-resident clients);

iv) Fields with the word FI: Applicable for registration of Investment Funds; and

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v) Fields with "- ": Applicable for registration of Individuals and Legal Entities

File name: DADCAD

Frequency: Quarterly

Scope: Snapshot of active clients on the 'D-1' base date of the end of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	-	Name of the registration system	Text	-	No
3	Código Cliente	-	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	Código Tipo Pessoa	-	Individual; Financial Legal Entity; Non-financial Legal Entity; IF (Investment Fund).	Text	Options: "PF", "PJF", "PJNF" or "FI"	Yes
5	INR	PF, PJF, PJNF, FI	If the client is a non-resident, with full "INRC" registration, with simplified "INRS" registration	Text	"INRC" and "INRS" or "N"	Yes
6	PV	PF, PJF, PJNF, FI	Person linked to the Participant	Text	Y/N	Yes
7	Investidor Qualificado	PF, PJF, PJNF, FI	Affirmative or negative indication regarding the declaration of qualified investor (consider professional investor as qualified)	Text	Y/N	Yes
8	Data Cadastro	PF, PJF, PJNF, FI	Date of first registration carried out with the Participant	Date (BRT)	yyyy-mm-dd	Yes
9	Data Atualização	PF, PJF, PJNF, FI	Date of the last registration update carried out with the Participant (according to expiration date or request (ABR))	Date (BRT)	yyyy-mm-dd	Yes
10	Classificação Risco	PF, PJF, PJNF, FI	Risk classification defined by the Participant	Text	-	Yes
11	PEP	Individual	If a politically exposed person, after the diligence carried out by the Participant	Text	Y/N	Yes
12	Razão Social	PJF, PJNF, FI	Corporate name of the legal entity, according to registration with B3	Text	-	Yes
13	Nome Completo	Individual	Name of the client, as registered with B3	Text	-	Yes

Ref:	Field	Layout	Description	Type	Format	Mandatory?
14	Data Nascimento / Fundação	PF, PJF, PJNF, FI	Date of company's birth or foundation according to registration with B3	Date (BRT)	yyyy-mm-dd	Yes
15	Naturalidade Município	Individual	Client's place of birth (Municipality), according to registration with B3	Text	-	Yes
16	Naturalidade Estado	Individual	Client's birthplace (State), as registered with B3	Text	State	Yes
17	Nacionalidade	Individual	Name of the country that corresponds to the client's nationality, as registered with B3	Text	-	Yes
18	Estado Civil	Individual	Civil status of the client, according to registration with B3	Text	-	Yes
19	CPF/CNPJ	PF, PJF, PJNF, FI	CNPJ (EIN); Client CPF (Resident)	Text	Plain text without ".", "–" or ","	Yes
20	Código CVM/ID	PF, PJF, PJNF, FI	CVM Code; Client ID (Non-Resident Investor with CVM)	Text	Plain text without ".", "–" or ","	Yes
21	Código 88	PF, PJF, PJNF, FI	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without ".", "–" or ","	Yes
22	Logradouro	PF, PJF, PJNF, FI	Client's address, as registered at B3 (main address only)	Text	-	Yes
23	Complemento	PF, PJF, PJNF, FI	Complement of the client's public address, as registered with B3	Text	-	Yes
24	Bairro	PF, PJF, PJNF, FI	District of the client's address, as registered on B3	Text	-	Yes
25	Cidade	PF, PJF, PJNF, FI	City of the client's address, as registered with B3	Text	-	Yes
26	UF	PF, PJF, PJNF, FI	State of the client's address, as registered at B3	Text	State	Yes
27	País	PF, PJF, PJNF, FI	Country of the client's address, as registered with B3	Text	-	Yes
28	CEP	PF, PJF, PJNF, FI	Zip code of the client's street, as registered at B3, only numbers without a dash	Number	-	Yes

Ref:	Field	Layout	Description	Type	Format	Mandatory?
29	Número Telefone	PF, PJF, PJNF, FI	Client telephone number, as registered at B3, only numbers with area code, no dash (only the main telephone)	Number	-	Yes
30	E-mail	PF, PJF, PJNF, FI	Client's email, as registered on B3 (primary only)	Text	-	Yes
31	Atividade Econômica	PF, PJF, PJNF, FI	Professional occupation of the individual client, according to registration with B3, or economic activity for other clients	Text	-	Yes
32	Nome Mae	Individual	Client's mother's name, as registered at B3	Text	-	Yes
33	Nome Cônjuge	Individual	Name of the client's spouse, as registered with B3	Text	-	Yes
34	CPF Cônjuge	Individual	CPF (SSN) of the client's spouse, as registered at B3. No dots or dashes	Number	Plain text without ".", "–" or ","	Yes
35	Nome Entidade	Individual	Name of the entity the client works for, when applicable	Text	-	Yes
36	CNPJ Entidade	Individual	CNPJ (EIN) of the entity for which the client works, when applicable	Text	Plain text without ".", "–" or ","	Yes
37	Opera Terceiros	PF, PJF, PJNF, FI	Indication of the client's permission for operations carried out by third parties	Text	Y/N	Yes
38	Faturamento Médio	PJNF	Average client's billing over 12 months, according to registration at B3, with two decimal places	Number	With 2 decimal places separated by ","	Yes
39	Situação Patrimonial	Individual, PJNF	The client's financial situation, with two decimal places.	Number	-	Yes
40	Status	PF, PJF, PJNF, FI	Client blocked from acquiring securities	Text	Y/N	Yes

3.9.2 Attorney-in-fact

File description: Complementary file for the layout of Client Registration Data, Including Indication of Related Persons and Investors (DADCAD)

Objective: Monitor registration data

File name: PROCURADOR

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código Cliente	-	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
3	Procurador	PF, PJF, PJNF, FI	Name of the client's Attorney-in-fact	Text	-	Yes
4	CPF Procurador	PF, PJF, PJNF, FI	CPF (SSN) of the client's Attorney-in-fact	Text	Plain text without ".", "–" or ","	Yes (*) (**)
5	Logradouro Procurador	PF, PJF, PJNF, FI	Public address of the client attorney-in-fact, as registered at B3	Text	-	Yes

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Ref:	Field	Layout	Description	Type	Format	Mandatory?
6	Complemento Procurador	PF, PJF, PJNF, FI	Complement of the client's Attorney-in-Fact's Address	Text	-	Yes
7	Bairro Procurador	PF, PJF, PJNF, FI	District of the client's Attorney-in-Fact's Address	Text	-	Yes
8	Cidade Procurador	PF, PJF, PJNF, FI	City of the Client's Attorney-in-Fact's Address	Text	-	Yes
9	UF Procurador	PF, PJF, PJNF, FI	State of the client's Attorney-in-Fact's Address	Text	State	Yes
10	CEP Procurador	PF, PJF, PJNF, FI	Zip code of the client's attorney-in-fact's address, if applicable, only numbers, no dashes	Number	-	Yes
11	PEP Procurador	PF, PJF, PJNF, FI	Indication of a politically exposed person from the client's attorney-in-fact, if applicable	Text	Y/N	Yes
12	Descrição Procurador	PF, PJF, PJNF, FI	Description of the powers of the client's representative, including the corporate name and the CNPJ, if applicable	Text	-	Yes
13	E-mail do Procurador	PF, PJF, PJNF, FI	Attorney-in-fact's email address	Text	-	Yes, if informed by the client
14	Telefone do Procurador	PF, PJF, PJNF, FI	Attorney-in-fact's telephone number	Text	-	Yes, if informed by the client

(*) Field not required if it is from another jurisdiction.
(**) Inform the natural persons who represent the Legal Entity indicated by the client.

3.9.3 Controller

File description: Complementary file for the layout of Client Registration Data, Including Indication of Related Persons and Clients (DADCAD)

Objective: Monitor registration data

File name: CONTROLADOR

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código Cliente	-	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
3	Controlador	PJNF	Client's controller name, if applicable	Text	-	Yes
4	CPF_CNPJ Controlador	PJNF	CPF/CNPJ (SSN/EIN) of the client's Controller and, if applicable, CVM Code. No dots or dashes	Text	Plain text without ".", "–" or ","	Yes
5	Logradouro Controlador	PJNF	Client Controller's address, as registered at B3	Text	-	No
6	Complemento Controlador	PJNF	Complement of the client's Controller Address, if applicable	Text	-	No
7	Bairro Controlador	PJNF	District of the client's Controller's Address, if applicable	Text	-	No
8	Cidade Controlador	PJNF	City of the client's Controller Address, if applicable	Text	-	No
9	UF Controlador	PJNF	State of the client's Controller's Street, if applicable	Text	State	No
10	CEP Controlador	PJNF	Zip code of the client's Controller's Address, if applicable, only numbers, no dashes	Number	-	No
11	PEP Controlador	PJNF	Indication of politically exposed person of the client's controlling shareholder, if applicable	Text	Y/N	Yes, if Individual

3.9.4 Administrator

File description: Complementary file for the layout of Client Registration Data, Including Indication of Related Persons and Clients (DADCAD)

Objective: Monitor registration data

File name: ADMINISTRADOR

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código Cliente	-	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
3	Administrador	PJF, PJNF	Name of client administrator, if applicable	Text	-	Yes
4	CPF_CNPJ Administrador	PJF, PJNF	CPF/CNPJ (SSN/EIN) of the client's administrator and, if applicable, CVM Code. No dots or dashes	Text	Plain text without ".", "–" or ","	Yes
5	Logradouro Administrador	PJF, PJNF	Address of the client's Administrator, as registered with B3	Text	-	No

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Ref:	Field	Layout	Description	Type	Format	Mandatory?
6	Complemento Administrador	PJF, PJNF	Complement of the client's Administrator's Public Address, if applicable	Text	-	No
7	Bairro Administrador	PJF, PJNF	District of the client's Administrator's Address, if applicable	Text	-	No
8	Cidade Administrador	PJF, PJNF	City of the client's Administrator's location, if applicable	Text	-	No
9	UF Administrador	PJF, PJNF	State of the client's Administrator's Public Address, if applicable	Text	State	No
10	CEP Administrador	PJF, PJNF	Zip code of the client's administrator's address, if applicable, only numbers, no dashes	Number	-	No
11	PEP Administrador	PJF, PJNF	Indication of a politically exposed person from the client administrator, if applicable	Text	Y/N	No

3.9.5 Parent Company

File description: Complementary file for the layout of Client Registration Data, Including Indication of Related Persons and Clients (DADCAD)

Objective: Monitor registration data

File name: CONTROLADORA

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

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Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código Cliente	-	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
3	Razão Social Controladora	PJNF	Corporate name of the client's controlling shareholder(s), as per registration at B3	Text	-	Yes
4	CNPJ Controladora	PJNF	CNPJ (EIN) of the client's controller(s), as registered at B3, only numbers, no dashes	Text	Plain text without ".", "–" or ","	Yes
5	Registro Controladora	PJNF	In the case of non-resident controller(s), inform the identification record abroad	Number	-	Yes

3.9.6 Subsidiary

<u>File description</u>: Complementary file for the layout of Client Registration Data, Including Indication of Related Persons and Clients (DADCAD)

<u>Objective</u>: Monitor registration data

<u>File name</u>: CONTROLADA

<u>Frequency</u>: Quarterly

<u>Scope</u>: Photo on the base date "D-1" at the end of the evaluated quarter

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Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código Cliente	-	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
3	Razão Social Controlada	PJNF	Corporate name of the client's subsidiary(ies)	Text	-	Yes
4	CNPJ Controlada	PJNF	CNPJ (EIN) of the client's subsidiary(ies), only numbers, no dashes	Text	Plain text without ".", "–" or ","	Yes
5	Registro Controlada	PJNF	In the case of a non-resident subsidiary(ies), inform the identification record abroad	Text	-	Yes

3.9.7 Affiliate

File description: Complementary file for the layout of Client Registration Data, Including Indication of Related Persons and Clients (DADCAD)

Objective: Monitor registration data

File name: COLIGADA

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código Cliente	-	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
3	Razão Social Coligada	PJNF	Corporate name of the client's affiliate(s)	Text	-	Yes
4	CNPJ Coligada	PJNF	CNPJ (EIN) of the client's affiliate(s), only numbers, no dashes	Text	Plain text without ".", "–" or ","	Yes
5	Registro Coligada	PJNF	In the case of non-resident affiliate(s), inform the identification record abroad	Text	-	Yes

3.9.8 INR data (Simplified Non-Resident Investor and Full Non-Resident Investor)

File description: Complementary file for the layout of Client Registration Data, Including Indication of Related Persons and Clients (DADCAD)

Objective: Monitor registration data

File name: DADOSINR

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código Cliente	-	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
3	Nome PA INR	PF, PJF, PJNF, FI	In the case of non-resident clients, inform the name of the person authorized to issue orders in the country	Text	-	Yes
4	Nome Adm INR	PF, PJF, PJNF, FI	In the case of non-resident clients, inform the name of the administrator responsible for the portfolio	Text	-	Yes
5	Nome RL INR	PF, PJF, PJNF, FI	In the case of non-resident clients, provide the name of the legal representative	Text	-	Yes
6	Nome Custodia INR	PF, PJF, PJNF, FI	In the case of non-resident clients, inform the name of the person responsible for custody	Text	-	Yes
7	CPF_CNPJ PA INR	PF, PJF, PJNF, FI	In the case of non-resident clients, inform the CPF/CNPJ (SSN/EIN) of the person authorized to issue orders in the country	Text	Plain text without ".", "–" or ","	Yes
8	CPF_CNPJ Adm INR	PF, PJF, PJNF, FI	In the case of non-resident clients, inform the CPF/CNPJ (SSN/EIN) of the administrator responsible for the portfolio	Text	Plain text without ".", "–" or ","	Yes
9	CPF_CNPJ RL INR	PF, PJF, PJNF, FI	In the case of non-resident clients, inform the CPF/CNPJ (SSN/EIN) of the legal representative	Text	Plain text without ".", "–" or ","	Yes
10	CPF_CNPJ Custodia INR	PF, PJF, PJNF, FI	In the case of non-resident clients, inform the CPF/CNPJ (SSN/EIN) of the person responsible for custody	Text	Plain text without ".", "–" or ","	Yes

3.9.9 List of Related Persons

Description of the file: Registration data of Persons Linked to the Participant (as defined in CVM Resolution 35/2021 - Art. 2º), regardless of being a client of the Institution, including Investment Advisors.

Objective: Monitor related person's operations

File name: PEVINC

Frequency: Monthly

Scope: Photo on the base date of "D-1" at the end of the month evaluated

Ref:	Field	Description	Type	Format	Mandatory?
1	CPF_CNPJ _PV	CNPJ (EIN); CPF of the Related Person. (*)	Text	Plain text without ".", "–" or ","	Yes
2	Nome_da_PV	Full name or company name of the PV	Text	-	Yes
3	Tipo_da_PV	Link type description	Text	Examples: Employee, Partner, Shareholder, AI, Spouse, Partner, Minor Child.	Yes
4	Data_Vinculo	Date from which the link became valid	Text	yyyy-mm-dd	Yes
5	Data_Desvinculo	Date on which the PV left the Institution	Text	yyyy-mm-dd	Yes (**)

(*) Code 99 for INR (Non-Resident Investor)
(**) Required only if disassociated during the analysis period.

3.9.10 Risk Level for Registration Update

File description: Base containing the maximum period for updating client records according to the risk level

Objective: Monitoring of clients who operated with outdated registration, in accordance with the Risk Classification Policy defined by the Participant (ABR)

File name: MAXICAD

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ",".	Yes
2	Nível de Risco	Risk level defined by the Participant	Text	-	Yes
3	Prazo máximo para atualização	Maximum registration update period defined by the Participant for the risk level.	Number	Number of months	Yes

3.9.11 Authorized issuers

File description: Data of persons authorized to issue orders on behalf of one or more clients

Objective: Monitor authorized issuers issuing orders on behalf of clients

File name: EMISSORAUT

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Identificador Emissor	CPF (SSN) or CVM code of the issuer	Text	Plain text without ".", "–" or ","	Yes
3	Nome Emissor	Full name or company name of the authorized issuer	Text	-	Yes
4	País Emissor	Country of address of the authorized issuer	Text	-	No
5	Data Início	Start date of authorization as an issuer	Date (BRT)	yyyy-mm-dd	Yes
6	Data Fim	End date of authorization as issuer	Date (BRT)	yyyy-mm-dd	Yes (*)
7	Código Cliente	Client code at B3	Text	Plain text, without check digit and without	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				punctuations ("." , "–" or ",")	
8	Nome Cliente	Full name or company name of the client, as registered with B3	Text	-	Yes

(*) Applicable only if the relationship ended during the evaluated period.

3.10 Margin Account

3.10.1 Joining to the Margin Account product

File description: Joining to the Margin Account product

Objective: Monitor adherence to the Margin Account Product

File name: CMADESAO

Frequency: Quarterly

Scope: Photo on the base date of "D-1" at the end of the evaluated four-month period

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without "." , "–" or ","	Yes
2	Nome Sistema	Margin account system name	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations ("." , "–" or ",")	Yes
4	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN); No dots or dashes	Text	Plain text without "." , "–" or ","	No
5	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without "." , "–" or ","	No
6	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without "." , "–" or ","	No
7	Nome Cliente	Client Name	Text	-	Yes

3.10.2 Clients who Operate Margin Accounts

File description: Record of clients who operated on the Participant's margin account

Objective: Monitor operations with the Margin Account Product

File name: CMOPER

Frequency: Quarterly

Scope: Photo on the base date of "D-1" at the end of the evaluated four-month period

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Margin account system name	Text	-	No
3	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
4	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN); No dots or dashes	Number	Plain text without ".", "–" or ","	Yes
5	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "–" or ","	No
6	Código 88	Client code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "–" or ","	No
7	Nome do Cliente	Client Name	Text	-	Yes

3.10.3 List of financing and guarantees for clients who operated on the margin account

File description: List of financing and guarantees for clients who operated on the margin account

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Objective: Monitor assets financed and used as collateral, using the margin account.

File name: CMFINGAR

Frequency: Quarterly

Scope: Relationship considering the basis of the previous 4 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Margin account system name	Text	-	No
3	Nome Cliente	Name of the client, as registered with B3	Number	-	Yes
4	Conta do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
5	Data Operação	Dates of operations carried out by the client using the Margin Account service	Date (BRT)	yyyy-mm-dd	Yes
6	Código da operação	Code of the operation carried out by the client using the Margin Account service	Text	-	Yes
7	Ativo Financiado	Description of the Asset Financed by the client using the Margin Account service (as per B3 website - asset code)	Text	(*)	Yes
8	Qtde. Ativos Financiados	Quantity of Asset Financed by the client using the Margin Account service	Number	(*)	Yes
9	Cotação Ativo Financiado	Prices of Assets Financed by the client using the Margin Account service	Number	(*)	Yes
10	Valor Ativo Financiado	Value of Assets Financed by the client using the Margin Account service	Number	With 2 decimal places separated by "," (*)	Yes
11	Ativo Garantia	Description of the Asset pledged as Guarantee by the client to use the Margin Account service	Text	(*)	Yes

Ref:	Field	Description	Type	Format	Mandatory?
12	Qtde Ativo Garantia	Number of Assets pledged as Guarantee by the client using the Margin Account service	Number	(*)	Yes
13	Cotação Ativo Garantia	Prices of Assets pledged as Guarantee by the client to use the Margin Account service	Number	(*)	Yes
14	Valor Ativo Garantia	Value of Assets pledged as Guarantee by the client to use the Margin Account service	Number	With 2 decimal places separated by " " (*)	Yes
15	Garantia Disponível	Balance of guarantees available by the client to use the Margin Account service	Number	(*)	Yes

(*) Field with multiple data: Insert a new row for each occurrence within the multiple field, replicate the content without changes to other columns and change only the field in question;

3.10.4 Operations carried out through a Margin Account

File description: Data on financing operations carried out through margin accounts

Objective: Monitor assets financed and used as guarantee

File name: CTAMARGEM

Frequency: Quarterly

Scope: List covering the basis of the previous 4 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Margin account system name	Text	-	No
3	Data	Margin account transaction date	Date	yyyy-mm-dd	Yes
4	Hora	Margin account operation time	Time (BRT)	hh:mm:ss,sss	Yes
5	Código do cliente	Client code at B3	Text	Plain text, without the check digit and without punctuations (".","–" or ",")	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
6	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN); No dots or dashes	Text	Plain text without ".", "–" or ","	No
7	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without ".", "–" or ",".	No
8	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without ".", "–" or ",".	No
9	Valor	Value of the margin account operation.	Number	With 2 decimal places separated by ","	Yes

3.11 Execute Orders

3.11.1 List of Account Codes by Category

File description: List of account codes by category

Objective: Control of occurrence record (reason) for all operations recorded in the Error Account

File name: EOCODCONT

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código da Conta	Account code	Number	-	Yes
3	ID do Tipo de Utilização	Account usage type	Text	See table 4 (*) below	Yes (*)

(*) Fill in 1 code per account. If there is more than one code for one account, repeat the account usage ID data adding the code.

Table 4 – Details of Type of Use	
ID (*)	**Description of type of use**
A	Normal Account
B	Master Account
C	Brokerage Account
D	Account Error
E	Operational Error Account
F	Capture Account
G	Admin Account
H	Finterm account
I	Intermediate Account
J	Transitional Account for Market Maker
K	Participant's own wallets
L	Facilitation Account

3.11.2 Portfolios managed by the Participant

<u>File description</u>: List of portfolios managed by the Participant

<u>Objective</u>: Operations monitoring

<u>File name</u>: CICARTGER

<u>Frequency</u>: On demand

<u>Scope</u>: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
3	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN)	Text	Plain text without ".", "–" or ","	No

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Ref:	Field	Description	Type	Format	Mandatory?
4	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without ".", "–" or ","	No
5	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without ".", "–" or ","	No
6	Nome Cliente	Name of the client, as registered with B3	Text	-	Yes

3.11.3 Inclusion, change and cancellation of orders trail

File description: List of orders entered, changed and canceled on the trading platforms used by the client

Objective: Monitoring the Sufficiency of Trading Platform Audit Trails

File name: ORDENS_YYYY-MM-DD (Send files separated by day)

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Plataforma de negociação	Trading platform description (screen)	Text	-	Yes
3	OMS	Name of OMS (Order Management System)	Text	-	Yes
4	Data	Date of each status (order status)	Date	yyyy-mm-dd	Yes
5	Hora	Time of each status (order status)	Time (BRT)	hh:mm:ss,sss	Yes
6	ID da oferta	Identification of the order in Participant's trading platform (ClOrderID)	Text	-	Yes
7	ID da oferta B3	Identification of the order at B3 (OrderID)	Text	-	Yes

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Ref:	Field	Description	Type	Format	Mandatory?
8	Usuário	Trading platform user code registered in the order for insertion, change or cancellation of the order	Text	-	Yes
9	Código do Operador_assessor	Operator or advisor code, in case of order sent via trading desk or advisor	Text	-	Yes
10	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
11	Ativo	Asset code registered in the order	Text	-	Yes
12	Preço	Order price.	Number	With 2 decimal places separated by ","	Yes, except market order
13	Preço Stop	Order Stop Price, if applicable	Number	With 2 decimal places separated by ","	Yes
14	Preço executado	Executed price	Number	-	Yes
15	Quantidade	Order lot quantity	Number	-	Yes
16	Quantidade executada	Lot quantity executed	Number	-	Yes
17	Natureza	Type of order	Text	"Buy" or "Sell"	Yes
18	Sessão	Trading session contracted at B3	Text	"DMA", "Trading Desk" or "Transferrer"	Yes
19	Código Sessão	Session Code	Text	-	Yes
20	Sender location	Sender Location code to identify types of operations with B3 (E.g.: MESPF/MESNF, ASRPF/ASRNF, ZERPF/ZERNF, MDAPF/MDANF)	Text	-	Yes
21	Tipo	Limit Market Order, Limit Order, Protected Stop Order, Limit Stop Order, Market Order etc. (Status coming from the trading screen)	Text	-	Yes

Ref:	Field	Description	Type	Format	Mandatory?
22	Tipo do *stop*	Stop Loss, Stop Gain and others, if applicable (Status from the trading screen)	Text	-	Yes
23	Validade da ordem	Order validity	Text	See Table 1	Yes
24	Data de expiração da oferta	Order expiration date, if applicable	Date	yyyy-mm-dd	Yes
25	Status	Order status description	Text	See Table 2	Yes
26	Motivo da Rejeição	Description of reason in case of rejected order	Text	-	Yes
27	Origem da oferta	IP, hostname, MAC Address, etc	Text	-	Yes
28	Roteamento (RLP)	Inform whether the order comes from the Retail Liquidity Provider (RLP) product	Text	YES/NO	Yes
29	Direta Automática	Inform whether the order is automatic direct	Text	YES/NO	Yes
30	Time Zone	Time zone of recorded time (GMT-3)	number	(e.g.: if it is GMT-3, fill it with -3, if it is GMT+0, fill it with 0, etc.)	Yes

(*) The field must be filled in according to the statuses mentioned in the "Format" field.

Table 1 – Type of order validity	
Trigger ID (*)	**Validity**
A	Good Till Canceled - GTC
B	Good Till Date - GTD
C	Fill And Kill - FaK
D	Market on Auction -MOA
E	Market on Close - MOC
F	Day
G	Fill or Kill - FOK

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Table 2 – Order status description	
Trigger ID (*)	**Status**
A	Inserted
B	Amended
C	Canceled
D	Rejected
E	Executed
F	Partially Executed
G	Scheduled
H	Pending
I	Expired

3.11.4 Order Summary Trail

File description: List of orders entered, changed and canceled on the trading platforms used by the client

Objective: To assess the use of the session[3] and the origin of orders (restricted to Institutions that deal with clients (i) Individuals; and (ii) Non-Financial Legal Entities).

File Name: RESUORD_YYYY-MM-DD (Send files separated by day)

Frequency: Quarterly

Scope: List covering the basis of the previous 3 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Plataforma de negociação	Trading platform description (screen)	Text	-	Yes
3	OMS	Name of OMS (Order Management System)	Text	-	Yes

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[3] <mark>All sessions: DMA, Trading Desk, and Advisor</mark>

Ref:	Field	Description	Type	Format	Mandatory?
4	Data	Date of each status (order status)	Date	yyyy-mm-dd	Yes
5	Hora	Time of each status (order status)	Time (BRT)	hh:mm:ss,sss	Yes
6	ID da oferta	Identification of the order on the Participant's trading platform (ClOrderID)	Text	-	Yes
7	ID da oferta B3	Identification of the order at B3 (OrderID)	Text	-	Yes
8	Usuário	Trading platform user code registered in the order for insertion, change or cancellation of the order	Text	-	Yes
9	Código do Operador	In case of an order sent via trading desk or advisor, operator code registered with B3	Text	-	Yes
10	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
11	Código Sessão	Session Code	Text	-	Yes
12	Status	Order status description	Text	Entered, Changed, Canceled, Rejected, Executed, Partially Executed, Scheduled, Pending and Expired (*)	Yes
13	Origem da oferta	IP, hostname, MAC Address, etc	Text	-	Yes
14	Time Zone	Time zone of recorded time (GMT-3)	number	(e.g.: if it is GMT-3, fill it with -3, if it is GMT+0, fill it with 0, etc.)	Yes

(*) The field must be filled in according to the statuses mentioned in the "Format" field.

3.11.5 Session Purpose

File description: List of sessions and their respective purposes

Objective: Evaluate session usage and source of orders (supplementary file 3.11.4)

File name: FINASESSION

Frequency: Quarterly

Scope: Photo on the base date "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Código Sessão	Session Code	Text	-	Yes
3	Finalidade	Purpose of the session	Text	"DMA", "Trading Desk" or "Transferrer"	Yes

(*) The field must be filled in according to the statuses mentioned in the "Format" field.

3.11.6 Record of occurrence of operations recorded in the Operational Error Account

File description: Participant Control to record the occurrence (reason) of all operations recorded in the Operational Error Account

Objective: Monitor records of operations recorded in the operational error account

File name: LANCERRO

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Data	Date of registration of the operation recorded in the error account	Date	yyyy-mm-dd	Yes
3	Hora	Time of recording the occurrence of the operation recorded in the error account	Time (BRT)	hh:mm:ss,sss	Yes

Ref:	Field	Description	Type	Format	Mandatory?
4	Código do cliente	Client code at B3 whose operation was recorded in the error account	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
5	Ativo	Asset code registered in the order	Text	-	Yes
6	Quantidade	Order quantity	Number	-	Yes
7	Justificativa	Record of the justification for the operation posted to the error account	Text	-	Yes
8	ID da oferta	Identification of the order on the Participant's trading platform (ClOrderID)	Text	-	No
9	ID da oferta B3	Identification of the order at B3 (OrderID)	Text	-	No
10	Tipo	Identification of the type of entry	Text	"occurrence" or "reversal"	Yes
11	Código da Conta Erro	Error account code/operational error account	Number	-	Yes

3.12 Manage Risks

3.12.1 Pre-Operational Risk – Inclusion and Change of Limits

File description: Inclusion and change of parameters that make up the Clients' operational limits (Pre Risk)

Objective: Monitoring of Activities Performed by Certified Professionals

File Name: RISCOPRE_YYYY-MM-DD (Send files separated by day)

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes

Ref:	Field	Description	Type	Format	Mandatory
2	Nome Sistema	Name of the limit system	Text	-	Yes
3	Evento	Event type	Text	See Events table	Yes
4	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
5	Data	Date of event occurrence	Date	yyyy-mm-dd	Yes
6	Hora	Time of event occurrence	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
7	Usuário	Identification of the user who executed the event in the system	Text	-	Yes
8	Item	Identification of the client or Risk Profile related to the event	Text	-	Yes
9	Ativo	Identification of the asset referring to the event	Text	-	No (*)
10	Valor Limite	Operating limit value defined in the event	Number	With 2 decimal places separated by ","	Yes

(*) Only applicable to the Participant's process.

Event Table – Format and description of events	
Information	**Description of the event**
I	Inclusion
A	Alteration
E	Exclusion

3.12.2 Post-Operational Risk – Inclusion and Change of Limits

File description: Inclusion and change of parameters that make up Client operational limits (Post Risk)

Objective: Monitoring of Activities Performed by Certified Professionals

File name: RISCOPOS

Frequency: Quarterly

Scope: List covering the basis of the previous 3 months

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome Sistema	Guarantee system name	Text	-	No
3	Evento	Event type	Text	See Events table	Yes
4	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
5	Data	Date of event occurrence	Date	yyyy-mm-dd	Yes
6	Hora	Time of event occurrence	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
7	Usuário	Identification of the user who executed the event in the system	Text	-	Yes
8	Item	Identification of the client or Risk Profile related to the event	Text	-	Yes
9	Parâmetro	Identification of the parameter referring to the event	Text	-	Yes
10	Valor do Parâmetro	Parameter Value added or changed by user	Number	With 2 decimal places separated by ","	Yes

Event Table – Format and description of events	
Information	**Event**
I	Inclusion
A	Alteration

E	Exclusion

3.13 Treasury/Current Account

3.13.1 Inclusion and Maintenance of Financial Values Manually Entered into Client Accounts

File description: Record of inclusion and maintenance of financial values manually entered into client accounts

Objective: Identify entries made incorrectly in client accounts

File name: LANCMANC

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory
1	Código Participante	Broker Code	Text	Plain text without ".", "–" or ","	Yes
2	Sistema	System name	Text	-	No
3	Evento	Event type	Text	See Events Table	Yes
4	Data do Evento	Date of event occurrence	Date	yyyy-mm-dd	Yes
5	Hora do Evento	Time of event occurrence	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
6	Usuário	Identification of the user who executed the event in the system	Text	-	Yes
7	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or ",")	Yes
8	Num. Lançamento	Entry identification	Number	Whole number	Yes
9	Data Lançamento	Entry date	Date	yyyy-mm-dd	Yes

Ref:	Field	Description	Type	Format	Mandatory
10	Hora Lançamento	Entry time	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
11	Valor Lançamento	Entry value	Number	With 2 decimal places separated by ","	Yes
12	Descrição Lançamento	Entry description	Text	-	Yes

Event Table – Format and description of events	
Information	**Event**
I	Inclusion
A	Alteration
E	Exclusion

3.14 Information Security

3.14.1 Administrative Activities in Systems

File description: Record of administrative activities (change of parameters, user management, blocking and unblocking passwords, etc.) in the systems within the audit scope.

Objective: Monitor the integrity of the trail of systems within the scope

File name: ADMINSIST

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Broker Code	Text	Plain text without ".", "–" or ","	Yes
2	Sistema	System name	Text	-	Yes
3	Data	Date	Date	yyyy-mm-dd	Yes
4	Hora	Hora	Time (BRT)	hh:mm:ss,sss	Yes
5	Descrição Sistema	System description	Text	-	Yes
6	Usuário Evento	User who made the administrative changes	Text	-	Yes
7	Evento	The event may consider: change of parameters, user management, blocking and unlocking passwords, etc.	Text	-	Yes
8	Usuário Alterado	If a user is added, changed or unblocked, please inform us.	Text	-	Yes
9	Time Zone	Time zone of recorded time (GMT-3)	number	(e.g.: if it is GMT-3, fill it with -3, if it is GMT+0, fill it with 0, etc.)	Yes

3.14.2 Scope Systems User Lists

File description: List of users for each system within the audit scope (Note: all systems must be included in a single file)

Objective: Conflict monitoring of access to systems, link and certification

File name: USUARIOS

Frequency: Quarterly

Scope: Photo on the base date of "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes

Ref:	Field	Description	Type	Format	Mandatory?
2	Sistema	System name	Text	-	Yes
3	Usuário	Login registered in the system(****)	Text	-	Yes
4	Nome	Name of the person to whom the user belongs	Text	-	Yes
5	Identificador (*)	Employee identifier (CPF (SSN) or Internal Institution ID)	Text	Plain text without ".", "–" or ","	Yes
6	Status	Status of user interaction with the system	Text	Active / Inactive / Blocked	Yes
7	Perfil	Profile assigned to the system user (**)	Text	-	Yes
8	Permissão	Permissions assigned to the system user (**)	Text	-	Yes
9	Atividade crítica (***)	Critical activity ID corresponding to user permission. (e.g.: Inclusion of orders)	Text	See Table 1 below	Yes

(*) Data will be used to compare with the "identifier" field of the "List of Employees (Active, Terminated and Third Party)" layout. Therefore, the files must be filled with the same data;

(**) Field with multiple data: Insert a new row for each Profile or Permissions assigned to the system user, replicate the content without changing it to other columns and change only the field in question; and

(***) The scope will be restricted to the Participants' internal systems that cover the critical transactions in Table 1.

(****) The generic user must also be included in the list and should be submitted with the Identifier of the responsible party.

Table 1 – Format and description of critical transactions		
Critical Transaction ID	**Process/ System**	**Critical activities**
CC1	Customer base	Inclusion and maintenance of client registration data
CS1	Custody	Client custody transfer
O1	Orders	Inclusion, allocation, change and deletion of the client order register (post-trading)
CCT1	Current Account and Treasury	Inclusion and maintenance of financial values recorded in the clients' registration account (graphic account)
RPE1	Pre-operating risk	Inclusion and change of clients' pre-operational limits (Pre Risk).
RPO1	Post-operational risk	Inclusion and change of parameters that make up clients' operational limits (Post Risk)
NEG1	Trading	Inclusion, change and cancellation of client orders

3.14.3 Trail of Records of Entry and Exit Access to Trading Platforms

File description: Logs of users entering and leaving the trading systems

Objective: Track health monitoring and trading session usage

File name: ENTRADAESAIDA

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Sistema	System name	Text	-	Yes
3	Usuário	User who performed the entry or exit	Text	-	Yes
4	Evento	Type of access (Input or Output)	Text	Options: "Input" or "Output"	Yes
5	Data	Event date (Entry or Exit)	Date	yyyy-mm-dd	Yes
6	Hora	Event time (Entry or Exit)	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
7	Origem do acesso	IP, hostname, MAC Address, etc	Text	-	No

3.14.4 List of Employees (Active, Terminated and Third Party)

File description: List of active and terminated employees and third parties of the Participant in the Listed segment

Objective: Monitor system access link

File name: COLABORADORES

Frequency: Quarterly

Scope: Photo on the base date of "D-1" at the end of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Text	Plain text without ".", "–" or ","	Yes
2	Nome	Name of employee, intern or third party	Text	-	Yes
3	Identificador (*)	Employee identifier (CPF (SSN) or Internal Institution ID)	Text	Plain text without ".", "–" or ","	Yes
4	Cargo	Position of the employee, intern or third party	Text	-	Yes
5	Departamento/ Centro de custo	Area of activity of the employee, intern or third party	Text	-	Yes
6	Status	Status of the employee, intern or third party	Text	Options: "Active", "Inactive", among others.	Yes
7	Data de Admissão	Date of admission of the employee, intern or third party	Date	yyyy-mm-dd	Yes
8	Data de desligamento	Date of dismissal of the employee, intern or third party	Date	yyyy-mm-dd	Yes (***)
9	ID_Certificação	Certificate indication (E.g Backoffice, registration, operator, etc.)	Text	See Table 1 (*)	Yes (****)
10	Data da certificação	Certificate acquisition date	Date	yyyy-mm-dd	Yes (****)
11	Vencimento da certificação	Certificate expiration date	Date	yyyy-mm-dd	Yes (****)

(*) Data will be used to compare with the "identifier" field of the "List of Users of Systems within the Scope" layout. Therefore, the files must be filled with the same data;
(**) If the employee has more than one certification, fill out one (1) certification per row in the available file.
(***) Required only if terminated during the analysis period.
(****) Required only if certified.

Table 1 – Format and description of certifications	
ID Certification (*)	**Certification Description**
A	Operations
B	Compliance
C	Risk
D	Commercial

Table 1 – Format and description of certifications	
ID Certification (*)	**Certification Description**
E	Back Office
F	Custody
G	Liquidation
H	Customer base

3.15 Infrastructure Support

3.15.1 Voice Recording Inventory

File description: Voice Recording Inventory

Objective: Voice recorder inventory health monitoring

File in archive: INVENTARIOVOZ

Frequency: On demand

Scope: On demand

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Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant's code	Text	Plain text without ".", "–" or ",".	Yes
2	Sistema	Voice recording system name	Text	-	Yes
3	Código	Voice recording identifier code	Text	-	Yes
4	Origem	Telephone number from which the call originated	Text	-	Yes
5	Destino	Call destination phone number	Text	-	Yes
6	Data	Date of call	Date	yyyy-mm-dd	Yes
7	Hora início	Call start time	Time	hh:mm:ss or hh:mm:ss,sss	Yes
8	Hora Fim	Call end time	Time	hh:mm:ss or hh:mm:ss,sss	Yes
9	Time Zone	Time zone of recorded time (GMT-3)	number	(e.g.: if it is GMT-3, fill it with -3, if it is GMT+0, fill it with 0, etc.)	Yes

File description: Extension list per Operator / Advisor

Objective: Voice Recorder Inventory Health Monitoring (Layout 3.15.1 Add-on)

File in archive: RAMAL

Frequency: On demand

Scope: On demand

List of Extensions X Operator / Advisor			
Ref:	**Field**	Description Extension X Operator / Advisor	**Type**
1	Telephone	Operator/Advisor Telephone	Number
2	Ramal	Operator / Advisor Extension	Number
3	Operador / Assessor	Name of Operator / Advisor	Text

Observation: Forward the data from this table on the same dates as the table above.

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3.15.2 Records of Downtime of Order Recording Systems (Voice and Messaging)

File description: Records of downtime of order recording systems (voice and messaging)

Objective: Monitor the record of unavailability in order recording systems

File in archive: INCIDENTES_CANAL

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant's code	Number	Running number without ".", "–" or ","	Yes
2	Sistema	Name of the order recording system (voice and messaging)	Text	-	Yes
3	Data início	Start date of unavailability	Date	yyyy-mm-dd	Yes
4	Data fim	End date of unavailability	Date	yyyy-mm-dd	Yes
5	Hora início	Outage start time	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
6	Hora fim	Downtime end time	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
7	Descrição	Description of the downtime incident	Text	-	Yes

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Contacts at BSM

Additional clarifications related to filling out the files or submitting the documents can be obtained from the BSM Audit Superintendence by email bsm@bsmsupervisao.com.br or telephone 55 (11) 2565-6200, option 3.

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Version history

Version	Modified Item	Reason	Date
1.0	Original version	N/A	05/23/2023
2.0	Add and Adjust Layout, Discard Information, Meet Delivery Deadlines, Description of Layout Objectives.	First Manual review	11/13/2023
2.1	Main changes: • Scope period of the file layouts related to: (i) Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction (PLD/FTP), (ii) Supervision of Operations and Orders (SOO); and (iii) Risk Management; • Scope of the file layout related to the Summary Trail of Orders; • Processes applicable to the Listed Participants by type of access to the organized markets administered by B3; • Descriptions, mandatory nature, and review of the layout fields; and • Procedure for the advanced testing of layout formatting.	Second revision of the Manual	04/30/2024