



**BSM MARKET SUPERVISION FILE LAYOUT  
AND AUDIT TRAILS MANUAL  
LISTED and OVER-THE-COUNTER MARKET**



**April/2026**  
Version 3.1

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## 1. Introduction

The purpose of this File Layout And Audit Trails Manual (“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.

The improvements to this version of the Manual are highlighted as **blue**.

## 2. Scope of the Manual and Files – General Information

### 2.1 Applicability of Layouts

The Participant must send an e-mail to the address [bsm@supervisao.com.br](mailto:bsm@supervisao.com.br), up to 30 days before submitting 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.

For new Participants who have commenced their operations following the issuance of authorization by B3, it is required that layouts be submitted in the month after the start of their operational activities, in accordance with the layout submission schedule available on the website.

### 2.2 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: Apache Parquet<sup>1</sup>, .TXT with delimiter “|” or .CSV with delimiter “;”, text qualifier in quotation marks (“”) and header in the first line (ANSI or UTF-8 encoding);

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<sup>1</sup> The Parquet file is a columnar storage format designed for efficiently storing and processing large volumes of data. Unlike conventional file formats that store data by rows, Parquet organizes data by columns. This means that each column is stored separately, allowing for selective reading of the relevant columns for a specific query.

- File name: Unquestionably, the names (in uppercase letters) must adhere to the formatting described in the respective sections of the layouts to be submitted, specifically in the File field;
- Line terminator configuration: Windows standard (CRLF);
- Field with multiple data: Insert a new line for each occurrence within the multiple field<sup>2</sup>, 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 scope, since BSM has direct access to the data due to the organized markets administrated 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 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;
- Files without content must be submitted blank, with only the header included; and

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<sup>2</sup> 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.

- The Participant is responsible for validating the integrity of the file regarding minimum fields, format and content, before making it available to BSM.
- How to fill in according to the requirement status:
  - Mandatory (Yes) and the information exists → fill the value in the required format.
  - Mandatory (Yes), but the information does not exist / is not applicable → fill “-”.
  - “Yes, if applicable”:
    - If applicable → fill the value;
    - If not applicable → fill “-” or leave it blank.
  - Mandatory (No) and the information exists → fill the value in the required format
  - Mandatory (No), but the information does not exist / is not applicable → fill “-” or leave it blank.

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](mailto:bsm@bsmsupervisao.com.br) with the subject “Monitoramento de Dados – Teste de Layout”, 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.

### 2.3 How to send files

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

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

File	Path
BSM Portal	<a href="https://www.bsmsupervisao.com.br/portal-bsm">https://www.bsmsupervisao.com.br/portal-bsm</a>

<sup>3</sup> Exceptions (other ways of accessing/sending files) must be addressed with BSM to assess the process applicability.

File	Path
BSM Access Regulation	<a href="https://www.bsmsupervisao.com.br/documents/1266368/1723435/REGULAMENTO-DE-ACESSO-BSM.pdf">https://www.bsmsupervisao.com.br/documents/1266368/1723435/REGULAMENTO-DE-ACESSO-BSM.pdf</a>
New system for sending and receiving data from BSM Supervisão de Mercados	<a href="https://www.bsmsupervisao.com.br/documents/1266368/1512585/CE+BSM+14.2022+-+Portal+BSM.pdf">https://www.bsmsupervisao.com.br/documents/1266368/1512585/CE+BSM+14.2022+-+Portal+BSM.pdf</a>
User Manual – BSM Portal	<a href="https://www.bsmsupervisao.com.br/portal-bsm">https://www.bsmsupervisao.com.br/portal-bsm</a>

## 2.4 BSM Data Storage

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.

## 2.5 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.

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 security practices.

## 2.6 Monitoring and Storage of Test Results

The results of tests performed by BSM, through Data Monitoring, and their storage are the responsibility of the Participant. Thus, it is necessary that the Participant adjust the reported nonconformities and revisit the internal processes and controls to improve the effectiveness of the results as the nonconformities are reported.

The observation's percentage obtained from the Data Monitoring results will be properly stored by BSM and utilized in subsequent regular audits. Furthermore, the data and information obtained from MC<sup>2</sup>D may be used in other supervisory activities carried out by BSM and in collaborative monitoring with B3, in line with applicable guidelines.

Additionally, it's informed that, for those Participants submitted to regular audit, the most recent submission of layouts will be stored by BSM. This action aims to complement the exclusive tests of the regular audit. This measure has been adopted to streamline the process, avoiding the need for a new request to the Participant and minimize potential rework. After the issuance of the report, the data will be expunged.

The Participant ensures the accuracy, integrity, and completeness of the files submitted to BSM. However, BSM may evaluate these files during regular and specific audits.

## 2.7 Information integrity provided by the Participant

In accordance with Section II, Article 82 of CVM Resolution 135/2022, the Participant must provide all information required by the administrative and supervisory bodies of the entity responsible for administering the organized market and its respective self-regulatory bodies.

Thus, errors in filling out the layouts that result in inconsistencies in the results obtained by MC<sup>2</sup>D will not be considered false positives, but rather failures in the integrity of the file and the information provided. These will be considered as 100% inconsistency in the MC<sup>2</sup>D test result, as the absence of the file in the format established in this document prevents the execution of the analyses. Furthermore, these results may also be reported during regular or specific audit processes carried out by BSM. For the purposes of the MC<sup>2</sup>D processes, it is expected that the Participant will make the necessary corrections by the next submission of the layouts.

In contrast, false positives are considered to be inconsistencies identified in the results obtained by MC<sup>2</sup>D<sup>4</sup> from the evaluation of complete databases, duly filled out and submitted by the Participant within the stipulated deadline, which result from

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<sup>4</sup> It is important to note that the Participant has until the 10th business day to resubmit the files in accordance with the layout defined in the manual, in case the initial submission does not meet the established standards. After this deadline, BSM will close the file receipt period, and for the purposes of the results, it will be considered as 100% inconsistency, since the absence of the file in the format established in this document prevents the execution of the analyses.

eventual failures or unforeseen situations in the intelligence of the tests performed by BSM. In such cases, the Participant must respond to the official letter sent with the results of the evaluations, presenting the necessary evidence to justify the cases identified as false positives, allowing BSM to analyze and, considering adequate justifications, remove the inconsistency.

It is worth noting that the Participant must ensure the veracity, integrity, and completeness of the files sent to BSM, i.e., the data submitted is a faithful reflection of each Participant's internal information. Nevertheless, BSM may evaluate these files during regular and specific audits.

## 2.8 MC<sup>2</sup>D Results

The results of the tests performed on MC<sup>2</sup>D will be reported monthly to the Participants. After the 10 business-day period established for feedback, if the Participant does not raise any questions related to the tests carried out, nor indicate the occurrence of false positives, BSM will understand that there are no additional observations regarding the inconsistencies identified and, consequently, validated by the Participant. Thus, the records contained in the official letter will be considered as opportunities for improvement for future submissions and will be included in the results section of BSM's Supervision Reports, MC<sup>2</sup>D Score<sup>5</sup>, and *Supervisão Baseada em Risco* (SBR) assessment.

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<sup>5</sup> The MC<sup>2</sup>D Score is calculated based on various factors related to the layouts. It includes delays in the submission of layouts, layouts that were not submitted, layouts that are not complete, layouts that do not follow the standard established in the manual, and inconsistencies identified in the tests performed.

### 3. Listed Market Manual

The layout Manual is applicable to all Participants in the listed segment<sup>6</sup>, regardless of the access category. This means that the rules and standards established in this document must be followed by all, 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.

In the table below, there is a detailed overview of the applicable processes for each access category:

	RLP (Retail Liquidity Provider)	Registration	Suitability	Orders	Settlement / Financing for Share Purchases and Loans	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	Fraud Prevention Mechanisms
Full Trading Participation (PNP)	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Trading Participation (PN)	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Clearing Member (MC)					•			•		•			•	•	•	
Exchange Clearing Member								•						•		
Settlement Participant (PL)		•			•			•		•	•	•*		•	•	•
Custody Agent (AC)		•					•			•	•			•	•	•

- Applicable Process
- \* Operations Supervision.

For a view of **(i)** the applicable process to the Participants by type of access to the organized markets administrated by B3 and **(ii)** of all tests to be concluded by layouts see **Appendix I** and **Appendix II**, respectively.

<sup>6</sup> The submission of information that does not correspond to clients in the listed segment increases the volume of files sent by Participants and, therefore, negatively impacts the BSM validation process, resulting in false positives in the test results. Therefore, we reinforce the importance of sending only information related to listed clients for ALL layouts.

## Start and Frequency of File Delivery (Listed Market)

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

The schedule for submitting the layouts, including the submission frequency, is published on the BSM website (*Auditoria de Participantes => Monitoramento Conjunto Contínuo de Dados*).

The table below shows the databases and audit trails along with their respective file delivery start dates:

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
Since November 2023	Retail Liquidity Provider (RLP)	List of clients adhering to the use of the RLP	BASEOPTIN
Since April 2024	Investment Advisor (AI's)	Non-exclusive Investment Advisor	AINAOEXC
	Investment Advisor (AI's)	Clients served by the Investment Advisor	AICLI <sup>7</sup>
	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
Since May 2024	AML	Record of alert analysis conclusions	REGISTRO_ALERTASPLD
	AML	Clients with changes in risk profiles	ALTPERFIL
Since 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

<sup>7</sup> Mandatory (quarterly) submission starting from April 2026.

Obligation	Process	Database or Audit Trail	Files
	Customer base	Controller	DADOSCONTROLADOR
	Customer base	Administrator	ADMINISTRADOR
	Customer base	Parent company	CONTROLADORA
	Customer base	Subsidiary	ENTIDADECONTROLADA
	Customer base	Affiliate	COLIGADA
	Customer base	NRI data	DADOSINR
	Customer base	Risk Level for Registration Update	MAXICAD
	Customer base	Authorized issuers	EMISSORAUT
Since 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
	Compulsory Liquidation	Compulsory Liquidation	LCZERAGEM
	Compulsory Liquidation	Compulsory settlement parameters	PARAMETROLIQ
Since 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	RISCOPE
	Treasury/Current Account	Inclusion and maintenance of financial values manually entered into client accounts	LANCMANC
	SOO	Record of alert analysis conclusions	REGISTRO_ALERTASSOO
Since 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

Obligation	Process	Database or Audit Trail	Files
	Information Security	Administrative activities in systems	ADMINSIST
	Information Security	Trail of records of entry and exit access to trading platforms	ENTRADAESAIDA
Since 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
Since 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
Since 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 <sup>8</sup>
	Settle Trade	Trades and costs of the broker note - Derivatives.	GAB119 (For Sinacor) or EXTRATOCCF <sup>9</sup>
	Financing for Share Purchases and Loans	Joining to the Financing for Share Purchases and Loans product	CMADESAO
	Financing for Share Purchases and Loans	Clients operating Financing for Share Purchases and Loans	CMOPER
	Financing for Share Purchases and Loans	List of financing and guarantees for clients who operated on the Financing for Share Purchases and Loans	CMFINGAR

<sup>8</sup> Mandatory (quarterly) submission starting from April 2026

<sup>9</sup> Mandatory (quarterly) submission starting from April 2026

Obligation	Process	Database or Audit Trail	Files
	Financing for Share Purchases and Loans	Operations carried out through Financing for Share Purchases and Loans	CTAMARGEM
	Execute Orders	Inclusion, change and cancellation of orders trail	ORDENS
	Execute Orders	Session Objective	FINASESSAO
	Execute Orders	Order Summary Trail	RESUORD
As of May 2026	Manage Custody	Portability Request (RCVM 210)	PORTAB
As of June 2026	AML	AML/CTF trainings accomplished by collaborators and representatives	TREINAPLD
As of July 2026	Fraud Prevention Mechanisms	Monitoring and registration for fraud prevention	PREVFRAUDE
As of July 2026	Investment Advisor (AI's)	Records of communications concerning indications of violations	INFRAAI

- (a) The Layout submission to BSM is mandatory by the 10<sup>th</sup> 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 comply with the dates, standards and format of deliveries, as established by BSM. Requests for extension of deadlines must be substantiated by the Participant, containing new dates and justifications for BSM's reassessment.

## Layouts and files descriptions (Listed Segment)

### 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: Monitoring whether educational material was sent for each trigger activation

File: ACIONAMENTOGE

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to last day of the previous quarter (last three-month base<sup>10</sup>)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digits	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
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.
G	If the client, within the first 15 days of operation, does not submit a maker offer or if the client submits more than 85% of taker offers (taker offers/total offers) within the first 30 days of operation

### 3.1.2 Submission of Educational Material

<sup>10</sup> Quarterly basis starting from April 2026. The January database (to be submitted by the 10th business day of February 2026) should include the bi-monthly basis

File description: Records of submission of educational materials to clients through trigger activation

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

File name: ENVIOMTE

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: First to last day of the previous quarter (last three-month base<sup>11</sup>)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digits	Yes
2	ID	Trigger event identification	Text	See Table 2 below (*)	Yes
3	Descrição	Description of the activated trigger	Text	See Table 2 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 “Outros”	Yes
9	Origem	Sender of the educational material submitted. (e.g.: broker@domain.com.br, etc.)	Text	Options: “o e-mail de origem” or “Outros”	Yes
10	Destino	Recipient of the educational material submitted. (e.g.: client@domain.com.br, etc.)	Text	Options: “o e-mail de destino” or “Outros” (*)	Yes

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

<sup>11</sup> Trimestral basis starting from April 2026. The January database (to be submitted by the 10th business day of February 2026) should include the bi-monthly basis

Table 2 – 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
G	If the client, within the first 15 days of operation, does not submit a maker offer or if the client submits more than 85% of taker offers (taker offers/total offers) within the first 30 days of operation

### 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:** Monitoring the value of the minimum margin parameter of Index mini-contract (WIN) and Dollar mini-contract (WDO) assets

**File name:** MARGEM

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website

**Scope:** First to last day of the previous quarter (last three month basis<sup>12</sup>)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digits	Yes
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

<sup>12</sup> Trimestral base starting from April 2026. The January database (to be submitted by the 10th business day of February 2026) should include the bi-monthly basis

Ref:	Field	Description	Type	Format	Mandatory?
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: “Valor” or “Quantidade”	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 it opt-out, both for the derivative market and the stock market.

**Objective:** Monitoring 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:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to last day of the previous quarter (last three-month basis)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digits	Yes
2	Nome Sistema	Identification of the system used to register opt-in and opt-out	Text	-	Yes

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	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]	Tegment type derivatives , equities or both	Text	"derivatives", "equities" or "all" (*)	See Table 3
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 3
9	EventOrderId [3]	Identification of the person responsible for joining or discontinuing the RLP order	Text	Inform the user	See Table 3

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

Table 3 – 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 <i>EventTime</i> .
[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 (" <i>EventOrderId</i> ") containing the person responsible for adhesion or discontinuation on behalf of the client.

### 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: (i) 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; and (ii) alignment of the investment profile with the traded product.

File name: BASEOPTIN

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo of the **first day** at the beginning of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digits	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: Monitoring the allocation of the investment profile according to the questionnaire defined by the Participant

File name: QUESTIONARIO\_SUITABILITY

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: First to last day of the previous quarter (last three month basis)<sup>13</sup>

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digits	Yes
2	Nome Sistema	Identification of the system used to fill out the form	Text	-	No
3	Forma Análise	Detail the analysis method for CPF/CNPJ or Client Code	Text	CPF/CNPJ = "0" or Client Code = "1"	Yes
4	Código Cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "-", " " or " ")	Yes (*)
5	CPF/CNPJ	Client's CNPJ; CPF	Text	Plain text without ".", "-", " " or " "	Yes (*)
6	Versão do questionário	Version of the questionnaire answered by the Client	Text	Vide <i>layouts</i> 3.2.2 e 3.2.3	Yes (**) (****)
7	ID_Pergunta	Question identification	Text	See layout 3.2.2	Yes (***)
8	ID_Resposta	Identification of the option selected by those who filled out the form (*****)	Text	See layout 3.2.2	Yes (***)

<sup>13</sup> From 2026 onwards, suitability layouts must be submitted together with registration layouts. To comply, in April 2026 (March basis), the Participant must send only 2 months (February and March basis). The remaining months will follow the standard of 3 months.

Ref:	Field	Description	Type	Format	Mandatory?
9	Pontuação	Score/Weight of the answer (*****)	Number	See layout 3.2.2	Yes (***)
10	Perfil	Final Profile Name assigned to the client	Text	-	Yes (****)
11	Usuário	User responsible for filling out the questionnaire (client or Participant internal user)	Text	-	Yes
12	Data	Date of completion of the questionnaire	Date	yyyy-mm-dd	Yes
13	Hora	Time of questionnaire filling out	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
14	Perfil Raia (*****)	Profile Name corresponding to the client response (to the Participants that uses the lane method)	Text	-	Yes, if applicable

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

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

(\*\*\*) The fields must adhere to the standard established in layout 3.2.2. Otherwise, the test will not be executed.

(\*\*\*\*) The fields must adhere to the standard established in layout 3.2.3. Otherwise, the test will not be executed.

(\*\*\*\*\*) Scoring by lanes, where the score is calculated based on the profile linked to the response option.

(\*\*\*\*\*) For multiple-choice questions in which the Suitability profile calculation takes into account only specific responses (e.g., only the highest-weighted option), the Participant must fill exclusively the response and the value effectively used

### 3.2.2 Suitability Questionnaire Score

File description: Score of answers to the Suitability questionnaire

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

File name: PONTUACAO\_SUITABILITY

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo of the last day of the evaluated quarter<sup>14</sup>

Ref:	Field	Description	Type	Mandatory?
1	ID_Pergunta	Question identification	Text	Yes
2	Pergunta	Question to the client	Text	Yes

<sup>14</sup> From 2026 onwards, suitability layouts must be submitted together with registration layouts. To comply, in April 2026 (March basis), the Participant must send only 2 months (February and March basis). The remaining months will follow the standard of 3 months.

Ref:	Field	Description	Type	Mandatory?
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 (With 2 decimal places separated by “,”)	Yes
6	Versão do questionário	Questionnaire version	Text	Yes

### 3.2.3 Suitability Questionnaire Profile

File description: Suitability questionnaire profiles

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

File name: PERFIL\_SUITABILITY

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo of the last day of the evaluated quarter<sup>15</sup>

Ref:	Field	Description	Type	Mandatory?
1	Pontuação mínima	Minimum score for the profile	Number (With 2 decimal places separated by “,”)	Yes
2	Pontuação máxima	Maximum score for the profile	Number (With 2 decimal places separated by “,”)	Yes
3	Perfil	Profile Name (*)	Text	Yes
4	Versão do questionário	Questionnaire version	Text	Yes

(\*) **Sort from the most conservative profile to the most aggressive** (i.e. the most conservative profile on the first line and the most aggressive on the last line)

### 3.2.4 Client Investment Profile Base

<sup>15</sup> From 2026 onwards, suitability layouts must be submitted together with registration layouts. To comply, in April 2026 (March basis), the Participant must send only 2 months (February and March basis). The remaining months will follow the standard of 3 months.

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

Objective: (i) Monitoring the investment profile assigned to clients; and (ii) adjustment of the investment profile to the Participants that offers the RLP to clients.

File name: TRILHA\_SUITABILITY

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: First to last day of the previous quarter (last three month basis) (Full base of all active clients<sup>16 17</sup>)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digits	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

<sup>16</sup>Active client: (i) the client that, in the past 12 (twelve) months, the individual must have: a) conducted transactions in their current account or in their custody position; b) executed operations in the securities market; or c) maintained a balance in their custody position (RCVM 50, Act 2, VI, a, b, c); and (ii) clients with active status on SINCAD.

<sup>17</sup> From 2026 onwards, suitability layouts must be submitted together with registration layouts. To comply, in April 2026 (March basis), the Participant must send only 2 months (February and March basis). The remaining months will follow the standard of 3 months

**Objective:** Monitoring products offered to clients outside the investment profile; and (ii) adjustment of the investment profile to the Participants that offers the RLP to clients.

**File name:** PRODUTOSSU

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo of the last day of the evaluated quarter<sup>18</sup>

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 "Table 4" (*) (***)	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 4 – 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
OT	Others

### 3.2.6 Risk term for non-compliant operations

<sup>18</sup> From 2026 onwards, suitability layouts must be submitted together with registration layouts. To comply, in April 2026 (March basis), the Participant must send only 2 months (February and March basis). The remaining months will follow the standard of 3 months.

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

Objective: Monitoring communications to clients regarding profile non-compliance

File name: DESENQUAD

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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 communications to clients regarding non-compliance with the profile

File name: TERMORISC

Frequency: On demand

Scope: On demand

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: LCALEERTAS

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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	Forma de Transmissão	Alert transmission method	Text	Options: “Email”, “Pop-up”, “SMS” or “Outros”.	Yes
5	Mensagem	Alert text sent to the client or template code used (to be validated during audits)	Text	-	Yes
6	Data L1	L1 Date Alert	Date	yyyy-mm-dd	Yes
7	Hora L1	L1 Time Alert	Time (BRT)	hh:mm:ss;sss	Yes
8	Data L2	L2 Date Alert	Text	yyyy-mm-dd	Yes, if applicable
9	Hora L2	L2 Time Alert	Time (BRT)	hh:mm:ss;sss	Yes, if applicable
10	Data LC	LC Date Alert	Date	yyyy-mm-dd	Yes, if applicable
11	Hora LC	LC Time Alert	Time (BRT)	hh:mm:ss;sss	Yes, if applicable

Ref:	Field	Description	Type	Format	Mandatory?
12	Data Liquidação	Date on which compulsory liquidation was executed	Date	yyyy-mm-dd	Yes, if applicable
13	Hora Liquidação	Time on which the compulsory liquidation was executed	Time (BRT)	hh:mm:ss;sss	Yes, if applicable

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	Format
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 "Outros - Portal/Site".
8	Mensagem	Fill in as "Portal/Site - Disponível" or "Portal/Site - Indisponível".

### 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: Monitoring 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	Number	Without check digit	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 Liquidação	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: Monitoring the records of the clients guarantee allocation.

File name: LCALOCGARANTIAS

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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 without	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				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: Monitoring required guarantee X guarantee allocated at the time of opening the position

File name: LCCONTROLE

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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 client does not	Text	“Aprovação” or “Rejeição”	Yes

Ref:	Field	Description	Type	Format	Mandatory?
		have a sufficient guarantee limit			
17	Posição	Validate whether the order aims to increase or reduce the position	Text	"Yes or "No"	Yes

(\*) Independently if the order was executed or not

### 3.3.5 Compulsory Liquidation

**File description:** Data on controls carried out by the Participant for compulsory liquidation of positions

**Objective:** Monitoring compulsory liquidation in accordance with the rules defined by the Participant

**File name:** LCZERAGEM

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to the last day of the previous quarter (last two month basis)

**Observations:** The Participant that serves only institutional clients must have control over compulsory liquidation when they occur. The layout should be sent by the Institution to BSM only if the event (compulsory liquidation) occurs, and the delivery of the layout should be made by the Institution in the month following the occurrence (example: Compulsory Liquidation carried out on 07/30. The compulsory settlement layout (LCZERAGEM) should be made available on the 10th business day of August).

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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

Ref:	Field	Description	Type	Format	Mandatory?
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
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 and/or set by the client for the activation of the zeroing/assisted liquidation 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

(\*) For intraday settlement (or any settlement process other than compulsory settlement), the following shall be submitted: (i) required collateral (field 6) = 0; (ii) available collateral (field 7) = -; and (iii) loss / consumption percentage (field 8) = 0. The information provided shall be consistent with the Institution’s policies and rules. In addition, Regular Audit may request additional evidence to support the process.

### 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: Monitoring 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	Number	Without check digit	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 (*)
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

(\*) If the Participant uses a website/portal to communicate the guarantees' deterioration of both before and after the compulsory liquidation procedure, the field is not mandatory.

### 3.4 Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction (“AML/CTF”)

#### 3.4.1 Alerts and Records of AML/CTF Alert Analysis Conclusions

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

Objective: (i) Monitoring analyzes generated and the deadline for analysis conclusions after the alert is triggered (AML/CTF); and (ii) Monitoring of communications of analyzes to COAF beyond 24 hours.

File name: REGISTRO\_ALERTASPLD

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

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
January, 202X	Alerts generated in September 202X and October 202X
March, 202X	Alerts generated in November 202X and December 202X
May, 202X	Alerts generated in January 202X and February 202X
July, 202X	Alerts generated in March 202X and April 202X
September, 202X	Alerts generated in May 202X and June 202X
November, 202X	Alerts generated in July 202X and August 202X

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome Sistema	Name of the alert analysis recording system	Text	-	No
3	Data Acionamento	Alert triggering date	Date	yyyy-mm-dd	Yes

Ref:	Field	Description	Type	Format	Mandatory?
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	-	Yes, if applicable
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 (**)
16	Classificação de risco	Risk classification of the alert issued	Text	-	Yes, if applicable
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	-	Yes, if applicable

(\*) Mandatory depending on the answer in column 4 (analysis form) – CPF/CNPJ (SSN/EIN) or Client code.

(\*\*) Mandatory only for alerts that have been analyzed and concluded.

(\*\*\*) Mandatory only for analysis that were reported to COAF.

(\*\*\*\*) 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: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo of the last day of the evaluated quarter (for all clients whose risk classification was changed during the three-month period).

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome Sistema	Name of the risk profile system	Text	-	No
3	Código Cliente	Client code at B3 <sup>19</sup>	Text	Plain text, without check digit and without punctuations (".", "-", or ",")	Yes
4	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN)	Text	Plain text without ".", "-", or ",	Yes, if applicable
5	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "-", or ",	Yes, if applicable
6	Código 88	Client code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "-", or ",	Yes, if applicable
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

<sup>19</sup> It is not necessary to submit clients deactivated during the period.



### 3.4.3 AML/CTF Training

File description: Date of the AML/CTF training conducted by employees and representatives

Objective: Verify that all employees and representatives have completed the AML/CTF training within the periodicity defined by the Participant

File name: TREINAPLD

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website

Scope: Photo of the last day of the evaluated quarter beholding all employees and representatives and the date of the last AML/CTF training completed

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome	Name of the employee, intern or representative	Text	-	Yes
3	Identificador (*)	Employee identifier (CPF (SSN) or Internal Institution ID) (*)	Text	Plain text without ".", "-", or ",",	Yes (*)
4	Nome do Treinamento	AML/CTF Training name	Text	-	Yes
5	Data	Date of training completion	Data (BRT)	aaaa-mm-dd	Yes
6	Periodicidade	Periodicity (in months) defined by the Participant to complete the training	Number	Number of Months	Yes

(\*) The field must follow the nomenclature used in layout 3.14.4. Otherwise, the test will not be will not be executed

### 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 analysis

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

File name: REGISTRO\_ALERTASSOO

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

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
January, 202X	Alerts generated in September 202X and October 202X
March, 202X	Alerts generated in November 202X and December 202X
May, 202X	Alerts generated in January 202X and February 202X
July, 202X	Alerts generated in March 202X and April 202X
September, 202X	Alerts generated in May 202X and June 202X
November, 202X	Alerts generated in July 202X and August 202X

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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	Yes (***)

Ref:	Field	Description	Type	Format	Mandatory?
				punctuations (“.”, “-“ or “,”)	
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	-	Yes, if applicable
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	-	Yes, if applicable
16	Data Registro	Analysis completion record date	Date	yyyy-mm-dd	Yes (**)
17	Data comunicação administração	Date of communication to the Senior Administration	Date	yyyy-mm-dd	Yes, if applicable
18	Data comunicação regulador	Date of communication to Regulatory bodies	Date	yyyy-mm-dd	Yes, if applicable
19	Regulador comunicado	Notified Regulatory Body	Text	CVM = "0" BSM "1" or CVM and BSM = "2"	Yes, if applicable
20	Campo livre	Free use field of the Participant for internal references (if necessary).	Text	-	Yes, if applicable

(\*) 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) and Portability

**Objective:** Assess whether the transfers were conducted within the regulatory deadline.

**File name:** TRANSFCUST

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to the last day of the previous bimester (list covering the last two-month basis – only the concluded in the period)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code (Custodian)	Number	Without check digit	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
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)	Number	Without “.”, “-” or “,”	Yes
9	Ativo	Asset requested for custody transfer	Text	(*)	Yes

Ref:	Field	Description	Type	Format	Mandatory?
10	Código ISIN	Instrument's ISIN Code	Text	Plain text, without check digit and without punctuations (".", "-" or ";") (*)	Yes
11	Quantidade	Amount requested for custody transfer per asset	Number	(*)	Yes
12	Ocorrências	Options regarding the status of requests	Text	See "Table 5"	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	Yes
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	Text	-	Yes
17	Prazo	Estimated deadline for completing the process	Date	yyyy-mm-dd	Only if Status = "I" or "PP"
18	Situação da transferência	Transfer completed in full (I) or partially (P)	Text	I or P	Yes
19	Origem da Solicitação	Transfer request made by origin (O) or destination (D) intermediary	Text	O or D	Yes
20	Tipo de Transferência	Transfer request made through STVM (S) or Portability (P)	Text	S or P	Yes

(\*) 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;

(\*\*) At this time, submission of portability transactions is not required, that is, transfers classified as portability (P) in field 20 (Tipo de Transferência).

Table 5 – Format and description of statuses	
Information	Request status description
I	Inserted
R	Rejected
C	Canceled by the Origin Participant
CC	Canceled by the client

Table 5 – Format and description of statuses	
Information	Request status description
PP	Participant Pending
PD	Participant Destination Pending
PC	Pending Client
PS	Issue resolved by the Client
CO	Concluded
CI	Communicated to the investor <sup>20</sup>
RS	Rejected by Subscription
CD	Canceled by Destination Participant

### 3.6.2 Portability Request (RCVM 210)

File description: Number of portability requests (RCVM 210)

Objective: Assess whether the portability requests were conducted within RCVM 210.

File name: PORTAB

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: First to the last day of the previous quarter (last four months basis)

Ref:	Field	Description	Type	Formar	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Data do Evento (mês)	Month of the portability requests	Text	-	Yes
3	Número Solicitação Origem	Requests made directly to the custodian or origin intermediary	Number	-	Yes
4	Número Solicitação destino	Requests submitted to the central depository and either the custodian or destination intermediary, and subsequently communicated to the custodian or origin intermediary	Number	-	Yes

<sup>20</sup> Submit in the layout all formal communications made with the client during the custody transfer process

Ref:	Field	Description	Type	Formar	Mandatory?
5	Número Canceladas	Canceled requests, regardless of the institution where the cancellation was requested	Number	-	Yes, if applicable
6	Atendidas Prazo Regulamentar	Requests fully fulfilled within the regulatory deadline	Number	-	Yes, if applicable
7	Atendidas Prazo Estendido	Requests fully or partially fulfilled within the extended deadline	Number	-	Yes, if applicable
8	Número Recusadas	Requests fully or partially denied	Number	-	Yes, if applicable

## 3.7 Settle Trade

### 3.7.1 Statement of clients' current account

**File Description:** Statement of clients' current account

**Objective:** Monitoring of debt balances of clients

**File name:** GAB800 (For Sinacor) or EXTRATOCC (For other systems)<sup>21</sup>

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** 3-month base, starting from 1 previous month to the request date, as shown in the example below:

Scope	Base that should be sent to BSM
03/2026 (February base)	GAB 807 or EXTRATOCC trail of the December 2025 to January 2026 period (*)
06/2026 (May base)	GAB 807 or EXTRATOCC trail of the February 2026 to April 2026 period
09/2026 (August base)	GAB 807 or EXTRATOCC trail of the May 2026 to July 2026 period
12/2026 (November base)	GAB 807 or EXTRATOCC trail of the August 2026 to October 2026 period
03/2027 (February base)	GAB 807 or EXTRATOCC trail do período de 11/2026 a 01/2027

(\*) To adjust the new periodicity and scope, in March 2026 (based on February), the Participant must submit only 2 months, as detailed above. The remaining months will follow the 3-month pattern, starting from 1 month prior to the request date.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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

<sup>21</sup> If the Participant uses Sinacor, submit the file with the name GAB800. If using another system, submit the file with the name EXTRATOCC. Otherwise, the file will not be validated and will return with an error.

Ref:	Field	Description	Type	Format	Mandatory?
6	Endereço complemento	Complement	Text	-	No
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	Signal Code Value Release (D/C)	Text	D / C	Yes

D - Negative balance / C - positive balance

### 3.7.2 Projected Balance According to Operations Performed

**File Description:** Projected client balance according to the operations performed

**Objective:** Monitoring of client balance

**File:** GAB807 (For Sinacor) or EXTRATOSP (For other systems)<sup>22</sup>

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** 3-month basis, starting from 1 previous month to the request date, as shown in the example below:

Scope	Base that should be sent to BSM
03/2026 (February base)	GAB 807 or EXTRATOSP trail of the December 2025 to January 2026 period (*)
06/2026 (May base)	GAB 807 or EXTRATOSP trail of the February 2026 to April 2026 period
09/2026 (August base)	GAB 807 or EXTRATOSP trail of the May 2026 to July 2026 period

<sup>22</sup> If the Participant uses Sinacor, submit the file with the name GAB800. If using another system, submit the file with the name EXTRATOCC. Otherwise, the file will not be validated and will return with an error.

12/2026 (November base)	GAB 807 or EXTRATOSP trail of the August 2026 to October 2026 period
03/2027 (February base)	GAB 807 or EXTRATOSP trail of the November 2026 to January 2027 period

(\*) To adjust the new periodicity and scope, in March 2026 (based on February), the Participant must submit only 2 months, as detailed above. The remaining months will follow the 3-month pattern, starting from 1 month prior to the request date.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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 without punctuations (“.”, “-” or “.”)	Yes
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 / C	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 / C	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 / C	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 / C	Yes
14	Saldo do Projetado D2	D2 Client projected total balance	Number	With 2 decimal places	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				separated by “ ” ,	
15	Sinal Projetado D2	D - Negative balance / C - positive balance	Text	D / C	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 / C	Yes
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 / C	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 / C	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 / C	Yes

### 3.7.3 Trades and cost of broker note – Equities

**File Description:** Summary of business and costs of the broker note - Equities

**Objective:** Monitoring of operations

**File:** GAB107 (For Sinacor) or EXTRATOCCB (For other systems)<sup>23</sup>

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to the last day of the previous quarter (last three-month basis)

<sup>23</sup> If the Participant uses Sinacor, submit the file with the name GAB800. If using another system, submit the file with the name EXTRATOCC. Otherwise, the file will not be validated and will return with an error.

**Observation:** The file will be used for BSM supervision purposes. The results will not be reported through MC<sup>2</sup>D. However, they will be considered in the delivery percentage.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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
5	Data Pregão	Trading Session Date	Date (BRL)	yyyy-mm-dd	Yes
6	Número Nota	Broker note number	Number	-	Yes
7	Código Assessor	Advisor Code	Text	-	Yes
8	Natureza	Indication of debit or credit of net and gross amounts	Text	“Débito” or “Crédito”	Yes
9	Vendas a Vista	Total cash sales in the auction	Number	With 2 decimal places separated by “.”	Yes
10	Compras a Vista	Total cash purchases in the auction	Number	With 2 decimal places separated by “.”	Yes
11	Opções Compra	Total options purchases on the trading floor	Number	With 2 decimal places separated by “.”	Yes
12	Opções Venda	Total options sales on the trading floor	Number	With 2 decimal places separated by “.”	Yes
13	Outras Operações	Other Variable Income operations carried out 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

Ref:	Field	Description	Type	Format	Mandatory?
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	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: Monitoring of operations

File: GAB119 (For Sinacor) or EXTRATOCCF (For other systems)<sup>24</sup>

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: First to the last day of the previous quarter (last three-month basis)

Observation: The file will be used for BSM supervision purposes. The results will not be reported through MC<sup>2</sup>D. However, they will be considered in the delivery percentage.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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
5	Data Pregão	Trading Session Date	Date (BRL)	yyyy-mm-dd	Yes

<sup>24</sup> Caso o Participante utilize o Sinacor, encaminhar o arquivo com o nome GAB119. Caso utilize outro sistema, encaminhar o arquivo com o nome EXTRATOCCF. Caso contrário, o arquivo não será validado e retornará com erro.

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

File name: AINAOEXC

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated month

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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 performs a role other than operator	Text	Y/N	Yes
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 

Ref:	Field	Description	Type	Format	Mandatory?
9	Data Início acordo	Start date of the agreement to carry out operations at the field 8 institution	Date	yyyy-mm-dd	Yes

(\*) Mandatory information only for Participants which the AI is authorized to carry out operations in their own name. Otherwise, fill the field with "-".

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

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

Indicator: Monitoring of operations

File name: AICLI

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated month

Observation: The file will be used for BSM supervision purposes. The results will not be reported through MC<sup>2</sup>D. However, they will be considered in the delivery percentage.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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	See "Table 6"	Yes
6	CEP	Zip code of the Investment Advisor Headquarters	Number	-	Yes
7	E-mail	Investment Advisor e-mail domain	Text	@example.com	Yes
8	Nome Cliente	Full name of the client served by the IA	Text	-	Yes (*)

Ref:	Field	Description	Type	Format	Mandatory?
9	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (“.”, “-” or “,”)	Yes (*)
10	CPF/CNPJ	CNPJ or CPF of the client	Text	Plain text without “.”, “-” or “,”	Yes (*)
11	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without “.”, “-” or “,”	Yes (*)
12	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without “.”, “-” or “,”	Yes (*)
13	Start Date	Start date of the relationship with the Advisor Investor	Date	aaaa-mm-dd	Yes
14	End Date	End date of the relationship with the Advisor Investor	Date	aaaa-mm-dd	Yes, if applicable

(\*) 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;

Table 6 – Localidade do assessor de investimento pessoa natural	
Code	Location
M	Participating Headquarters
F	Participating Branch
E	External / IA Office

### 3.8.3 Communications concerning indications of violations (AI's)

File description: Records of communications of signs of violation

Indicator: Monitoring of signs of violation involving Investment Advisors

File name: AICLI

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: From the first to the last day of the previous quarter (covering the previous 3-month period)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Data	Date of the finding	Date	aaaa-mm-dd	Yes
3	Nome da sociedade do AI	Corporate name of the Investment Advisor legal entity	Text	-	Yes, if applicable
4	CNPJ da sociedade do AI	CNPJ of the Investment Advisor legal entity	Text	Plain text without “.”, “-” or “,”	Yes, if applicable
5	Nome do Assessor	Name of the Investment Advisor – Individual	Text	-	Yes
6	CPF do Assessor	CPF of the Investment Advisor – Individual	Text	Plain text without “.”, “-” or “,”	Yes
7	ID da conduta	Identification of the conduct	Text	See “Table 3.8.3”	Yes
8	Descrição da conduta	Detailed description of the identified conduct	Text	-	Yes, if applicable
9	Medidas Adotadas	Detailed description of the measures adopted by the Institution	Text	-	Yes
10	Atenuantes e agravantes	Description of any mitigating and aggravating factors considered	Text	-	Yes, if applicable
11	Penalidades	Description of the penalties applied	Text	-	Yes

Table 3.8.3 – Identification of the conduct	
Conduct ID	Identified Conduct
A	Orders (absence of order, improper execution, order forgery, post-trade confirmation, etc.)
B	Suitability (offering of irregular products, change in investment profile, transactions outside the client’s profile, etc.)
C	Delegation of the Investment Advisor function to third parties
D	Non-compliance with the LGPD (sharing sensitive and confidential client data, requesting client access credentials such as login, password, token, etc.)
E	AML/CFT/CPF and Supervision of Operations and Orders (churning, atypical transactions, insider trading, front running, etc.)
F	Fraud (financial pyramid schemes, document forgery, etc.)
G	Receiving from clients, or delivering to them, cash, securities, financial instruments or other assets, except for the receipt of remuneration for services
H	Outdated Articles of Association
I	Irregular media content (website, social media, advertising materials, etc.)

<b>Table 3.8.3 – Identification of the conduct</b>	
<b>Conduct ID</b>	<b>Identified Conduct</b>
<b>J</b>	Irregular activity as an Investment Advisor (non-compliance with RCMV 178, carrying out the activities of a Securities Analyst, Securities Consultant, or Asset Manager)
<b>K</b>	Issuance of account statement (non-official statement of the Participant)
<b>L</b>	Irregularity related to the channel used for order receipt
<b>M</b>	Failure to provide information to the client
<b>N</b>	Intentionally acting as counterparty in transactions carried out by one's own clients
<b>O</b>	Shared origin (client and investment advisor submitting orders from the same origin)
<b>P</b>	Operational error
<b>Q</b>	Related person trading through another institution
<b>R</b>	Others (specify in the field "Detailed description of the identified conduct")

## 3.9 Client Registration

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

File description: Client registration data

Objective: (i) Monitoring the completeness of registration data between the Participant's systems and the B3 System (Sincad); (ii) operations involving individuals prohibited by CVM, as informed on the regulator's website, and (iii) registration and storage of the minimum content required by CVM Resolutions 50/2021 and 225/2024; (iv) verify if all clients operating in the RLP are retail clients; (v) verify if clients who conducted operations with restricted assets are authorized investors for such transactions; (vi) adequacy of access registration (type of person, risk profile and portfolio); and (vii) verify if there are clients operating without registration.

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;
- v) Fields with the word PFCA: Applicable for Individual Person Access Registration;
- vi) Fields with the word PFCP: Applicable for Individual Person Cad&Pag registration;
- vii) Fields with the word INR: Applicable for Non-Resident registration;
- viii) Fields with the word PFES: Applicable for Foreign Individual Person residing in Brazil, without CPF registration; and
- ix) Fields with "- ": Applicable for all types of registration.

File name: DADCAD **Version 3.1 effective as of the July submission (June base)**

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo of active clients<sup>25</sup> on the last day of the evaluated quarter<sup>26</sup>

<sup>25</sup> Active client: (i) the client that, in the past 12 (twelve) months, the individual must have: a) conducted transactions in their current account or in their custody position; b) executed operations in the securities market; or c) maintained a balance in their custody position (RCVM 50, Act 2, VI, a, b, c); and (ii) clients with active status on SINCAD.

<sup>26</sup> No more than one row shall be submitted per account; the clients' data shall be provided in a single row.

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Number	Without check digit	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); Individual Access Registration; Individual Cad&Pag; Individual Foreign <b>If it is an NRI, select the person type and, in field 5 (INR), select the INR type; it is no longer necessary to indicate that it is an NRI in field 4 (Person Type Code).</b>	Text	Options: "PF", "PJF", "PJNF", "FI", "PFCA" <sup>27n</sup> , "PFCP" <sup>28n</sup> and "PFES" <sup>29n</sup>	Yes
5	INR	INR	If the client is a non-resident, with full "INRC" registration, with simplified "INRS" registration. <b>In case of not being NRI, fill in with "N".</b>	Text	"INRC" and "INRS" or "N"	Yes
6	PV	All types of persons	Person linked to the Participant	Text	Y/N	No
7	Tipo de Investidor	PF, PJF, PJNF, PFCA, INR and PFES	Indication regarding the declaration of investor: "Qualified", "Professional", and "No applicable"	Text	"Q", "P", or "NA" <sup>30</sup>	Yes
8	Data Cadastro	All types of persons	Date of first registration carried out with the Participant	Date (BRT)	yyyy-mm-dd	Yes
9	Data Atualização	All types of persons	Date of the last registration update carried out with the Participant (according to expiration date or request (BRA))	Date (BRT)	yyyy-mm-dd	Yes

<sup>27</sup> Person with "Cadastro de Acesso" accordingly to CVM Resolution 225/2024.

<sup>28</sup> PF com Cadastro Cad&Pag do Tesouro Direto.

<sup>29</sup> Individual foreign residente in Brazil, without CPF.

<sup>30</sup> "Q - Qualified", "P - Professional" ou "NA - No applicable"

Ref:	Field	Layout	Description	Type	Format	Mandatory?
10	Classificação de Risco	PF, PJF, PJNF, FI, PFCA, INRC, INRS and PFES	Risk classification defined by the Participant (Do not send the risk classification with special character)	Text	-	Yes (*)
11	PEP	PF, PFCA, PFCP, INRC and PFES	If a politically exposed person, after the diligence carried out by the Participant	Text	Y/N	Yes
12	Razão Social	PJF, PJNF, FI and INR	Corporate name of the legal entity, according to registration with B3	Text	-	Yes
13	Nome Completo	PF, PFCA, PFCP, INR and PFES	Name of the client, as registered with B3	Text	-	Yes
14	Data Nascimento / Fundação	PF, PJNF, PJF, FI, PFCA, PFCP, INRC and PFES	Date of company's birth or foundation according to registration with B3	Date (BRT)	yyyy-mm-dd	Yes
15	Naturalidade Município	PF	Client's place of birth (Municipality), according to registration with B3	Text	-	Yes
16	Naturalidade Estado	PF	Client's birthplace (State), as registered with B3	Text	State	Yes
17	Nacionalidade	PF, PFCA, INRC and PFES	Name of the country that corresponds to the client's nationality, as registered with B3	Text	-	Yes
18	Estado Civil	PF, PFCA and PFES	Civil status of the client, according to registration with B3	Text	-	Yes
19	CPF/CNPJ	All types of persons	CNPJ (EIN); Client CPF (Resident)	Text	Plain text without ".", "–" or " , "	Yes
20	Código CVM/ID	INR	CVM Code; Client ID (Non-Resident Investor with CVM)	Text	Plain text without ".", "–" or " , "	Yes, if NRI
21	Código 88	INR	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without ".", "–" or " , "	Yes, if NRI
22	Logradouro	PF, PJNF, PJF, PFCA, INRC and PFES	Client's address, as registered at B3 (main address only)	Text	-	Yes

Ref:	Field	Layout	Description	Type	Format	Mandatory?
23	Complemento	PF, PJNF, PJF, PFCA, INRC and PFES	Complement of the client's public address, as registered with B3	Text	-	Yes, if applicable
24	Bairro	PF, PJNF, PJF, PFCA, INRC and PFES	District of the client's address, as registered on B3	Text	-	Yes
25	Cidade	PF, PJNF, PJF, PFCA, INRC and PFES	City of the client's address, as registered with B3	Text	-	Yes
26	UF	PF, PJNF, PJF, PFCA, INRC and PFES	State of the client's address, as registered at B3	Text	State	Yes, if applicable
27	País	All type of person	Country of the client's address, as registered with B3	Text	-	Yes
28	CEP	PF, PJNF, PJF, PFCA, INRC and PFES	Zip code of the client's street, as registered at B3, only numbers without a dash	Number	Numbers, without "-"	Yes
29	Número Telefone	PF, PJNF, PJF, PFCA, INRC and PFES	Client telephone number, as registered at B3, only numbers with area code, no dash (only the main telephone)	Number	Numbers, with the area code, without "-"	Yes
30	E-mail	PF, PJNF, PJF, PFCA, INRC and PFES	Client's email, as registered on B3 (primary only) Fill in with a single valid client email address. If there are multiple email addresses, select the primary one for communication purposes. Do not use delimiters or multiple values.	Text	-	Yes
31	Ocupação/Atividade Econômica	PF, PJNF, PJF, PFCA, INRC and PFES	Professional occupation of the individual client, according to registration with B3, or economic activity for other clients	Text	See "Table 3.9.1.1"	Yes
32	Nome Mãe	PF, INRC and PFES	Client's mother's name, as registered at B3	Text	-	Yes, if applicable
33	Nome Cônjuge	PF, INRC and PFES	Name of the client's spouse, as registered with B3	Text	-	Yes, if applicable

Ref:	Field	Layout	Description	Type	Format	Mandatory?
34	CPF Cônjuge	PF, INRC and PFES	CPF (SSN) (or another verification ID document) of the client's spouse, as registered at B3. No dots or dashes	Number	Plain text without ".", "-", or ","	Yes, if applicable
35	Nome Entidade	PF, INRC and PFES	Name of the entity the client works for, when applicable	Text	-	Yes, if applicable
36	CNPJ Entidade	PF, INRC and PFES	CNPJ (EIN) of the entity for which the client works, when applicable	Text	Plain text without ".", "-", or ","	Yes, if applicable
37	Opera Terceiros	All types of persons	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 (or equivalent information, as defined in Policy), with two decimal places	Number	With 2 decimal places separated by ","	Yes
39	Situação Patrimonial	PF, PJNF, PJF, PFCA, INRC and PFES	Client's Financial and Patrimonial Situation or Net Equity (or equivalent information, as defined in Policy)	Number	With 2 decimal places separated by ","	Yes
40	Data da Situação Patrimonial	PF, PJNF, PJF, PFCA, INRC and PFES	Last update date of Investor's <b>Patrimonial Situation</b>	Date (BRT)	aaaa-mm-dd	Yes, if applicable
41	Status	All types of persons	Client blocked for securities acquisition (e.g.: outdated and blocked registration)	Text	S/N	Yes
42	Renda Anual	PF, INRC and PFES	<b>Sum of the annual income amounts</b>	Number	With 2 decimal places separated by ","	Yes, if applicable
43	Data da Renda Anual	PF, INRC and PFES	Last update date of Investor's Annual Income	Date (BRT)	aaaa-mm-dd	Yes, if applicable
44	Forma de Constituição	<b>INR</b>	<b>Corporate legal structure of the NRI client</b>	<b>Text</b>	<b>See "Table 3.9.1.2"</b>	<b>Yes</b>
45	Fundo Exclusivo	FI and INR	Indication if it is an Exclusive Fund or not (if exclusive = S, if investment club = N)	Text	S/N	Yes
46	Organização sem fins lucrativos	PJF, PJNF, FI and INR	<b>Indication of whether the entity is a non-profit organization</b>	Text	S/N	Yes

Ref:	Field	Layout	Description	Type	Format	Mandatory?
47	Indicador de Trust ou veículos assemelhados	INR	Indication of depersonalized entity formed by assets maintained under fiduciary title and assembled in segregated patrimony, separate from the titleholder's general assets	Text	S/N	Yes
48	Documento	PFES and INR	Document number for foreign natural person client without CPF	Number	Plain text without ".", "-", or ",",	Yes, if applicable
49	Emancipado	PF, PFCA, PFES, INR	Emancipated minor investor indication	Text	S/N	Yes, if applicable
50	Representante Legal	PF, PFCA, PFES, INR	Name of legal representative in cases of non-emancipated minor investors	Text	-	Yes, if applicable
51	CPF do Representante Legal	PF, PFCA, PFES, INR	CPF number of legal representative in cases of non-emancipated minor investors	Number	Plain text without ".", "-", or ",",	Yes, if applicable

(\*) The field must follow the nomenclature used in layout 3.9.10. Otherwise, the test will not be executed.

Table 3.9.1.1			
ID	Description	ID	Description
201.00	State-owned enterprise	2020.12	Rubber industry
203.00	Real estate investment funds	2020.13	Leather goods, travel goods, and footwear industry
204.00	Exchanges and organized over-the-counter markets	2020.14	Chemical industry
205.00	Condominium	2020.15	Pharmaceutical products industry
206.00	Cooperative	2020.16	Petroleum refining and distillation
206.01	Credit cooperative	2020.17	Materials products industry
206.02	Agricultural enterprise, cooperative, processing of agricultural products	2020.18	Textile industry
207.00	Consortium	2020.19	Apparel and accessories industry
301.00	Philanthropic, recreational, and cultural institution	2020.20	Food products industry
400.00	Central Bank	2020.21	Beverage industry
401.00	Commercial / multiple bank	2020.22	Tobacco industry
401.01	Commercial banks	2020.23	Publishing and printing industry
401.02	Multiple banks	2020.24	Miscellaneous industries
401.05	Other financial institutions	2020.25	Leather goods, travel goods, and footwear industry
402.00	Investment banks	2020.26	Construction industry

Table 3.9.1.1			
ID	Description	ID	Description
403.00	Insurance, pension, and capitalization company	2020.27	Industrial utility services
404.00	Securities distributor	2020.28	Holding company - equity holding controller
405.00	Securities broker-dealer	2021.00	Trade
406.00	Credit, financing, and investment company - finance company	2021.01	Retail trade
407.00	Leasing	2021.02	Wholesale trade
501.00	Investment funds, except pension and real estate funds	2021.03	Head offices and regional offices
501.01	Equity fund	2021.04	Intermediation in the purchase, sale, and lease of real estate
501.02	Fixed income fund	2022.01	Services
501.03	Commodities fund	2022.02	Transportation services
601.00	Pension investment funds, including FAPI - open-ended	2022.03	Communication services
601.01	Open private pension	2022.04	Accommodation and food services
602.00	Pension investment funds, including FAPI - closed-ended	2022.05	Repair and maintenance services
602.01	Closed private pension	2022.06	Personal services
603.00	Benefit plan fund of an insurance company, including life insurance	2022.07	Broadcasting and television services
701.00	Investment clubs	2022.08	Miscellaneous auxiliary services
801.00	Public administration, defense, and social security	2022.09	Health services
901.00	Temple of any worship	2022.10	Administration and leasing services
902.00	Political party and its foundations	2022.11	Education
903.00	Labor union entity	2022.12	Import and export
904.00	Community and social services	2022.13	Information and communication
1500.00	Securities portfolio management	2022.14	Settlement and custody services
1601.00	ADR depository	2024.00	Foundations
1700.00	Reinsurance	2025.00	Investment advisory firms
1800.00	Securities portfolio management	2026.00	Commodities broker and similar entities
1801.00	Managed portfolio	2027.00	Commercial factoring companies
1802.00	Managed portfolio	2028.00	Micro and small enterprises
2000.00	Activities not specified / classified	2400.00	Non-profit entities
2020.00	Industry	2700.00	Development banks
2020.01	Mineral extraction	2800.00	Savings banks
2020.02	Plant extraction	54.00	Commercial banks, investment banks, central banks, savings and loan associations, global custodians, and similar institutions regulated and supervised by the competent governmental authority

Table 3.9.1.1			
ID	Description	ID	Description
2020.03	Fishing and aquaculture	55.00	Insurance companies regulated and supervised by the competent governmental authority
2020.04	Mineral products industry	56.00	Companies or entities whose purpose is to distribute securities issuances or to act as intermediaries in securities trading, acting on their own behalf or on behalf of third parties, registered with and regulated by an entity recognized by the CVM
2020.05	Metallurgical industry	57.00	Pension entities regulated by the competent governmental authority
2020.06	Mechanical industry	58.00	Non-profit institutions, provided that they are regulated by the competent governmental authority
2020.07	Electrical equipment industry	59.00	Any entity whose purpose is to invest funds in the financial and capital markets, in which only individuals and legal entities resident and domiciled abroad participate, provided that: I - it is registered with and regulated by an entity recognized by the CVM; or II - the portfolio is managed, on a discretionary basis, by a professional manager registered with and regulated by an entity recognized by the CVM
2020.08	Transport equipment industry	60.00	Other collective investment funds or entities
2020.09	Wood industry	61.00	Other legal entities incorporated abroad
2020.10	Furniture industry	100.00	Individual limited liability company - EIRELI
2020.11	Paper, paperboard, and pulp industry		

Tabela 3.9.1.2 – Identificação da Forma de Constituição	
ID	Descrição
900	Corporation, limited liability company, or other types of business legal entities, except holding companies / economic group controlling companies
901	Association / foundation or other forms of non-profit organization
902	Condominiums, whether or not having legal personality (for example, investment funds or investment clubs)
903	Public legal entity (for example, governments, central banks, multilateral organizations, public foundations, or autonomous government agencies)
904	Fiduciary vehicles (for example, trusts)
905	Holding company / economic group controlling company

### 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: (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

File name: PROCURADOR

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Number	Without check digit	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
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

Ref:	Field	Layout	Description	Type	Format	Mandatory?
9	UF Procurador	PF, PJF, PJNF, FI	State of the client's Attorney-in-Fact's Address	Text	State	Yes, if applicable
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, if applicable
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

(Person which controls one or more entities)

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

Objective: (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

File name: DADOSCONTROLADOR

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Number	Without check digit	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	-	Yes, if applicable
6	Complemento Controlador	PJNF	Complement of the client's Controller Address, if applicable	Text	-	Yes, if applicable
7	Bairro Controlador	PJNF	District of the client's Controller's Address, if applicable	Text	-	Yes, if applicable
8	Cidade Controlador	PJNF	City of the client's Controller Address, if applicable	Text	-	Yes, if applicable
9	UF Controlador	PJNF	State of the client's Controller's Street, if applicable	Text	State	Yes, if applicable
10	CEP Controlador	PJNF	Zip code of the client's Controller's Address, if applicable, only numbers, no dashes	Number	-	Yes, if applicable
11	PEP Controlador	PJNF	Indication of politically exposed person of the client's controlling shareholder, if applicable	Text	S/N	Yes, if Individual

(\*) The changes in nomenclature, structure and/or filling of the fields proposed in this layout will be valid for deliveries made from January/2025. Deliveries to be made before January/2025 must follow the layout structure specified in version 2.1 of this Manual.

### 3.9.4 Administrator

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

Objective: (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

File name: ADMINISTRADOR

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Number	Without check digit	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	-	Yes, if applicable
6	Complemento Administrador	PJF, PJNF	Complement of the client's Administrator's Public Address, if applicable	Text	-	Yes, if applicable
7	Bairro Administrador	PJF, PJNF	District of the client's Administrator's Address, if applicable	Text	-	Yes, if applicable

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

### 3.9.5 Parent Company

(Entity which controls one or more controlled companies)

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

Objective: (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

File name: CONTROLADORA

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Number	Without check digit	Yes

Ref:	Field	Layout	Description	Type	Format	Mandatory?
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, if applicable

### 3.9.6 Subsidiary

(Entity which is controlled by another entity)

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

**Objective:** (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

**File name:** ENTIDADECONTROLADA

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Number	Without check digit	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, if applicable

(\*) The changes in nomenclature, structure and/or filling of the fields proposed in this layout will be valid for deliveries made from January/2025. Deliveries to be made before January/2025 must follow the layout structure specified in version 2.1 of this Manual.

### 3.9.7 Affiliate

(When a company has participation of another company's capital without exercising control over it)

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

Objective: (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

File name: COLIGADA

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

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	Number	Without check digit	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, if applicable

### 3.9.8 NRI 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: (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

File name: DADOSINR

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Código Participante	-	Participant Code	Number	Without check digit	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: (i) Monitoring related person's operations through another Participant; (ii) conciliation of the information of related persons with SINCAD; (iii) execution of transactions of related person/portfolio without identification of the final client in the offers submitted to the trading system, or re-specification of transactions involving related person/proprietary portfolio; and (iv) verify if all related persons are being reported/registered by the Participant

File name: PEVINC

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated month

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	Código PV	Link code description	Text	See "Table 7"	Yes
4	Data_Vinculo	Date from which the link became valid	Date (BRT)	yyyy-mm-dd	Yes
5	Data_Desvinculo	Date on which the PV left the Institution	Date (BRT)	yyyy-mm-dd	No (**)

(\*) Code 99 for NRI (Non-Resident Investor)

(\*\*) Required only if disassociated during the analysis period.

(\*\*\*) The changes in nomenclature, structure and/or filling of the fields proposed in this layout will be valid for deliveries made from January/2025. Deliveries to be made before January/2025 must follow the layout structure specified in version 2.1 of this Manual.

Table 7 – Code types PV	
Code PV	PV type
1	Employee
2	Investments Advisors
3	Third Party
4	Partner
5	Shareholder

Table 7 – Code types PV	
Code PV	PV type
6	Spouse
7	Partner
8	Minor Child/Stepchild
9	Controlled company
10	Investments Funds
11	Investments Clubs

### 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 (BRA)

File name: MAXICAD

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without Check Digit	Yes
2	Nível de Risco	Risk level defined by the Participant (*) (**)	Text	-	Yes
3	Prazo máximo para atualização	Maximum registration update period (in months) defined by the Participant for the risk level.	Number	Number of months	Yes

(\*) Do not send the risk classification with special character

(\*\*) Sort by the lower risk level to the highest (therefore, the lowest risk level at the first line and the highest risk level at the last line)

### 3.9.11 Authorized Issuers

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

Objective: Monitoring authorized issuers issuing orders on behalf of clients

File name: EMISSORAUT

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Identificador Emissor	CPF (SSN), CVM code of the issuer or Passport	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	-	Yes, if applicable
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 punctuations (".", "-", or ",",)	Yes
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 Financing for Share Purchases and Loans

#### 3.10.1 Joining to the Financing for Share Purchases and Loans

File description: Joining to the Financing for Share Purchases and Loans product

Objective: Monitoring the adherence to the Financing for Share Purchases and Loans Product

File name: CMADESAO **Version 3.1 effective as of the July submission (June base)**

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter **(including clients who were blocked from the Financing for Share Purchases and Loans product during the period under review (4 months))**

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome Sistema	Financing for Share Purchases and Loans 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 “,”	Yes, if applicable
5	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without “.”, “-“ or “,”	Yes, if applicable
6	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without “.”, “-“ or “,”	Yes, if applicable
7	Nome Cliente	Client Name	Text	-	Yes
8	<b>Data Bloqueio</b>	<b>Date on which the client was blocked from the Financing for Share Purchases and Loans</b>	<b>Date (BRT)</b>	<b>yyyy-mm-dd</b>	<b>Yes, if applicable</b>

#### 3.10.2 Clients who Operate Financing for Share Purchases and Loans

File description: Record of clients who operated on the Participant's Financing for Share Purchases and Loans

Objective: Monitoring operations with the Financing for Share Purchases and Loans Product

File name: CMOPER

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome Sistema	Financing for Share Purchases and Loans 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 ","	Yes
5	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "-", or ","	Yes, if applicable
6	Código 88	Client code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "-", or ","	Yes, if applicable
7	Nome do Cliente	Client Name	Text	-	Yes

### 3.10.3 List of financing and guarantees for clients who carried out on the Financing for Share Purchases and Loans

File description: List of financing and guarantees for clients who carried out on the Financing for Share Purchases and Loans

Objective: Monitoring the assets financed and used as collateral, using the Financing for Share Purchases and Loans.

File name: CMFINGAR

Frequency: On Demand

Scope: On Demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome Sistema	Financing for Share Purchases and Loans 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 Financing for Share Purchases and Loans service	Date (BRT)	yyyy-mm-dd	Yes
6	Código da operação	Code of the operation carried out by the client using the Financing for Share Purchases and Loans service	Text	-	Yes
7	Ativo Financiado	Description of the Asset Financed by the client using the Financing for Share Purchases and Loans service (as per B3 website - asset code)	Text	(*)	Yes
8	Qtde. Ativos Financiados	Quantity of Asset Financed by the client using the Financing for Share Purchases and Loans service	Number	(*)	Yes
9	Cotação Ativo Financiado	Prices of Assets Financed by the client using the Financing for Share Purchases and Loans service	Number	(*)	Yes
10	Valor Ativo Financiado	Value of Assets Financed by the client using the Financing for Share Purchases and Loans 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 Financing for Share Purchases and Loans service	Text	(*)	Yes
12	Qtde Ativo Garantia	Number of Assets pledged as Guarantee by the client using	Number	(*)	Yes

Ref:	Field	Description	Type	Format	Mandatory?
		the Financing for Share Purchases and Loans service			
13	Cotação Ativo Garantia	Prices of Assets pledged as Guarantee by the client to use the Financing for Share Purchases and Loans service	Number	(*)	Yes
14	Valor Ativo Garantia	Value of Assets pledged as Guarantee by the client to use the Financing for Share Purchases and Loans service	Number	With 2 decimal places separated by “,” (*)	Yes
15	Garantia Disponível	Balance of guarantees available by the client to use the Financing for Share Purchases and Loans 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 Financing for Share Purchases and Loans

File description: Data on financing operations carried out through Financing for Share Purchases and Loans

Objective: Monitoring the assets financed and used as guarantee

File name: CTAMARGEM

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: First to the last day of the previous quarter (list covering the last four months basis)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome Sistema	Financing for Share Purchases and Loans system name	Text	-	No
3	Data	Financing for Share Purchases and Loans transaction date	Date	yyyy-mm-dd	Yes
4	Hora	Financing for Share Purchases and Loans 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	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				without punctuations (“.”, “-” or “,”)	
6	CPF/CNPJ	CNPJ (EIN); Client CPF (SSN); No dots or dashes	Text	Plain text without “.”, “-” or “,”	Yes, if applicable
7	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without “.”, “-” or “,”.	Yes, if applicable
8	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without “.”, “-” or “,”.	Yes, if applicable
9	Valor	Value of the Financing for Share Purchases and Loans 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: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on last day of the previous semester evaluated

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Código da Conta	Account code	Number	-	Yes
3	ID do Tipo de Utilização	Account usage type	Text	See table 8 (*) 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 8 – 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

Table 8 – Details of Type of Use	
ID (*)	Description of type of use
L	Facilitation Account

### 3.11.2 Portfolios managed by the Participant

File description: List of portfolios managed by the Participant

Objective: Operations monitoring

File name: CICARTGER

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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 “,”	Yes, if applicable
4	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without “.”, “-” or “,”	Yes, if applicable
5	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without “.”, “-” or “,”	Yes, if applicable
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: (i) Monitoring the Sufficiency of Trading Platform Audit Trails; (ii) analyzes of the correct utilization of the negotiation sessions; and (iii) evaluation of the offers' origins.

File name: ORDENS

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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 (COrderID)	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_ 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	Up to 3 decimal places separated by ","	Yes, except market order
13	Preço Stop	Order Stop Price, if applicable	Number	Up to 3 decimal places	Yes, if applicable

Ref:	Field	Description	Type	Format	Mandatory?
				separated by “ ”	
14	Preço executado	Executed price	Number	Up to 3 decimal places separated by “ ”	Yes, if applicable
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”, “Mesa” or “Repassador”	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
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 9	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 10	Yes
26	Motivo da Rejeição	Description of reason in case of rejected order	Text	-	Yes
27	Origem da oferta	Public IP, hostname, MAC Address, etc	Text	-	Yes(**)
28	Roteamento (RLP)	Inform whether the order comes from the Retail Liquidity Provider (RLP) product	Text	SIM/NÃO	Yes
29	Direta Automática	Inform whether the order is automatic direct	Text	SIM/NÃO	Yes
30	Time Zone	Time zone of recorded time (GMT-3)	number	(e.g.: if it is GMT-3, fill it	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				with -3, if it is GMT+0, fill it with 0, etc.)	

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

(\*\*) Mandatory whenever there is manual user intervention

Table 9 – 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

Table 10 – 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
J	Previous Final State

### 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<sup>31</sup> and the origin of orders (restricted to Institutions that deal with clients (i) Individuals; and (ii) Non-Financial Legal Entities)

**File Name:** RESUORD (submit the summary of orders trails only of the clients (i) Individual; and (ii) Non-Financial Legal Entity)

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Base of 3 months, starting from 1 months prior to the request date, as per the example below:

Scope	Base that should be sent to BSM
03/2026 (February base)	GAB800 or EXTRATOCC trail of the December 2025 to January 2026 period (*)
06/2026 (May base)	GAB800 or EXTRATOCC trail do período de 02/2026 e 04/2026
09/2026 (August base)	GAB800 or EXTRATOCC trail do período de 05/2026 e 07/2026
12/2026 (November base)	GAB800 or EXTRATOCC trail do período de 08/2026 e 10/2026
03/2027 (February base)	GAB800 or EXTRATOCC trail do período de 11/2026 a 01/2027

(\*) To adjust the new periodicity and scope, in March 2026 (based on February), the Participant must submit only 2 months, as detailed above. The remaining months will follow the 3-month pattern, starting from 1 month prior to the request date.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without digit check	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 on the Participant's trading platform (COrderID)	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	Text	-	Yes

<sup>31</sup> Only DMA – Direct Market Access, which origins is the PNP/PN or Provider, as related in “Regras e Parâmetros de Negociação” B3 website page.

Ref:	Field	Description	Type	Format	Mandatory?
		insertion, change or cancellation of the order			
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	Inserida, Alterada, Cancelada, Rejeitada, Executada, Parcialmente Executada, Agendada, Pendente, Expirada, e Previous Final State (*)	Yes
13	Origem da oferta	Public 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
15	Robô de estratégia	Indicate whether the order is issued via strategy robot	Text	S / N	Yes

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

(\*\*) Mandatory whenever there is manual user intervention

(\*\*\*) The field must follow the nomenclature used in layout 3.11.5 (field 2 – Código Sessão). Otherwise, the test will not be executed.

### 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: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Código Sessão	Session Code	Text	(*)	Yes
3	Finalidade	Purpose of the session	Text	"DMA", "Mesa" or "Repassador"	Yes

(\*) The field must follow the nomenclature used in layout 3.11.4 (field 11 – Código Sessão). Otherwise, the test will not be executed

### 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: Monitoring of 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	Number	Without check digit	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
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

Ref:	Field	Description	Type	Format	Mandatory?
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 (COrderID)	Text	-	Yes, if applicable
9	ID da oferta B3	Identification of the order at B3 (OrderID)	Text	-	Yes, if applicable
10	Tipo	Identification of the type of entry	Text	"Ocorrência" or "Reversão"	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

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome Sistema	Name of the limit system pre-operational	Text	-	Yes
3	Evento	Event type	Text	See Table 11	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	Yes

Ref:	Field	Description	Type	Format	Mandatory
				separated by " "	

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

(\*\*) The changes in nomenclature, structure and/or filling of the fields proposed in this layout will be valid for deliveries made from January/2025. Deliveries to be made before January/2025 must follow the layout structure specified in version 2.1 of this Manual.

Table 11 – 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: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: First to the last day of the evaluated quarter (base of the last three months)

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Nome Sistema	Guarantee system name <sup>32</sup>	Text	-	No
3	Evento	Event type	Text	See Table 12	Yes
4	Código do cliente	Client code at B3	Text	Plain text, without check digit and without punctuations (".", "–" or " ");	Yes

<sup>32</sup> The field must follow the nomenclature used in layout USUARIOS (3.14.2). Otherwise, the test may present inconsistencies.

Ref:	Field	Description	Type	Format	Mandatory?
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

(\*)The field must follow the nomenclature used in layout 3.14.2. Otherwise, the test will not be executed.

Table 12 – 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 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	Number	Without check digit	Yes
2	Sistema	System name	Text	-	No
3	Evento	Event type	Text	See Table 13	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
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

Ref:	Field	Description	Type	Format	Mandatory
12	Descrição Lançamento	Entry description	Text	-	Yes

Table 13 – 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: Monitoring the integrity of the trail of systems within the scope

File name: ADMINISIST

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Broker Code	Number	Without check digit	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)

(The Participant must send the list of users for the databases<sup>33</sup> and systems that includes the following processes: Customer Registration, Custody, Orders, Current Account, Treasury, Pre-Operational Risk, Post-Operational Risk, and Trading. Additionally, provide the administrator users (ADM1) for the messaging, voice recording, and email tools.)

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

File name: USUARIOS

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
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	Ativo / Inativo / Bloqueado	Yes
7	Perfil	Profile assigned to the system user (**)	Text	-	Yes
8	Permissão	Permissions assigned to the system user (**)	Text	-	Yes, if applicable
9	Atividade crítica (***)	Critical activity ID corresponding to user permission. (e.g.: Inclusion of orders)	Text	See Table 14 below	Yes

<sup>33</sup> In field 2 (System), the nomenclature of the system and that of the respective database used shall be clearly distinguished (for example, “Sinacor” for the system and “ABC Database” for the database), in order to avoid inconsistencies during Regular Audit testing. It should be noted that, during the Regular Audit, the accesses granted are assessed in accordance with the segregation of duties matrix; therefore, the absence of a proper distinction between such nomenclatures may result in audit findings.

Ref:	Field	Description	Type	Format	Mandatory?
10	Matriz	Inform if the conflicted activity is included at headquarters (****)	Text	“Sim” or “Não”	Yes, if applicable

(\*) 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. Consulting/reading access is not necessary to be submitted.

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

(\*\*\*\*\*) If the user has access to conflicting activities, inform whether these accesses are mapped in the segregations of duties headquarters.

(\*\*\*\*\*) The field must follow the nomenclature used in layout 3.14.4. Otherwise, the test will not be executed.

Table 14 – 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
CAN1	Negotiation	Cancellation of clients offers
ADM1	All	Administrative activity Submission of a test instrument in orders System operation monitoring (e.g., trading and post-trading)
SERV1	All	Service Users

### 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	Number	Without check digit	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: "Entrada" or "Saída"	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	-	Yes, if applicable

(\*) The field must follow the nomenclature used in layout 3.11.3 (field 8 – Usupario). Otherwise, the test will not be executed.

### 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: Monitoring the system access links

File name: COLABORADORES

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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

Ref:	Field	Description	Type	Format	Mandatory?
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 15 (*)	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 (****)
12	E-mail	Employee e-mail	Text	-	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.

(\*\*\*\*\*) The changes in nomenclature, structure and/or filling of the fields proposed in this layout will be valid for deliveries made from January/2025. Deliveries to be made before January/2025 must follow the layout structure specified in version 2.1 of this Manual.

Table 15 – Certifications format and descriptions		
Certification ID (*)	Certification Description	Certifications
A	Operations	Certificação PQO-B3 - Operações - Certificação
		Certificação PQO-B3 - Operações - Recertificação
		Ancord - Assessor de Investimentos
		Anbima - CPA 20
		Anbima – CEA
		CFP ( <i>Certified Financial Planner</i> )
		Programa Formação de Brokers nos Mercados – FIA, B3 e Ancord
B	Compliance	Certificação PQO-B3 - <i>Compliance</i> - Certificação
		Certificação PQO-B3 - <i>Compliance</i> - Recertificação
		Programa de Formação em Supervisão de Mercados – Ibmecc
C	Risk	Certificação PQO-B3 - Risco - Certificação
		Certificação PQO-B3 - Risco - Recertificação
		PRM-IA ( <i>Professional Risk Manager – International Association</i> )

Table 15 – Certifications format and descriptions		
Certification ID (*)	Certification Description	Certifications
		GARP ( <i>Global Association of Risk Professionals</i> )
		FRM ( <i>Financial Risk Manager</i> )
D	Commercial	Certificação PQO-B3 - Comercial - Certificação
		Certificação PQO-B3 - Comercial - Recertificação
		Ancord - Assessor de Investimentos
		Anbima - CPA 20
		Anbima – CEA
E	Back Office	Certificação PQO-B3 - <i>Back Office</i> - Certificação
		Certificação PQO-B3 - <i>Back Office</i> - Recertificação
		Anbima – Certificação de Serviços Qualificados – Módulo 1 e 2 PQO
F	Custody	Certificação PQO-B3 - <i>Back Office</i> - Custódia - Certificação
		Certificação PQO-B3 - <i>Back Office</i> - Custódia - Recertificação
		Certificação PQO-B3 - <i>Back Office</i> - Certificação
		Certificação PQO-B3 - <i>Back Office</i> - Recertificação
		Anbima – Certificação de Serviços Qualificados – Módulo 1 PQO
G	Liquidation	Certificação PQO-B3 - Liquidação - Certificação
		Certificação PQO-B3 - Liquidação - Recertificação
		Certificação PQO-B3 - <i>Back Office</i> - Certificação
		Certificação PQO-B3 - <i>Back Office</i> - Recertificação
H	Client Registration	Certificação PQO-B3 - <i>Back Office</i> - Certificação
		Certificação PQO-B3 - <i>Back Office</i> - Recertificação
		Curso e Exame de Certificação do PQO – Cadastro de Clientes

### 3.15 Infrastructure Support

#### 3.15.1 Voice Recording Inventory

File description: Voice Recording Inventory

Objective: Voice recorder inventory health monitoring

File name: INVENTARIOVOZ

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant's code	Number	Without digit check	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 name: RAMAL

Frequency: On demand

Scope: On demand

List of Extensions X Operator / Advisor					
Ref:	Field	Description Extension X Operator / Advisor	Type	Format	Mandatory?
1	Telefone	Operator/Advisor Telephone	Text	-	Yes
2	Ramal	Operator / Advisor Extension	Text	-	Yes
3	Operador / Assessor	Name of Operator / Advisor	Text	-	Yes

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

### 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: Monitoring the record of unavailability in order recording systems

File name: INCIDENTES\_CANAL

Frequency: On demand

Scope: On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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

### 3.16 Fraud Prevention Mechanisms

#### 3.16.1 Fraud Prevention Monitoring and Registration

File description: Records on clients' access patterns regarding transactions or situations involving securities or financial instruments, considering risk scenarios, according to guidelines defined by the Participant.

Objective: Fraud prevention registration monitoring

File name: PREVFRAUDE

Frequency: Semi-annual

Scope: Semi-annual

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	Yes
2	Data registro	Registration Date	Date	aaaa-mm-dd	Yes
4	Identificação dos envolvidos	Client code at B3	Text	Plain text without ".", "–" or " "	Yes, if applicable
5	Detalhamento	Detailing of the identified situation	Text	-	Yes, if applicable
6	Tipo de Evento	Conclusion of the identified situation	Text	-	Yes, if applicable
7	Identificação	User IP <sup>34</sup> and/or other that enables origin identification	Text	-	Yes
8	Geolocalização	Geographic Location (country, city, etc.)	Text	-	Yes, if applicable
9	Detalhamento	Detailing of the identified situation	Text	-	Yes
10	Conclusão	Conclusion of the identified situation	Text	-	Yes, if applicable
11	Tipo da conclusão	Conclusion type for the identified situation	Text	View table 16	Yes

<sup>34</sup> In case of IP address, also include the communication port.

Tabela 16 – Conclusion type of the identified situation	
ID	Descrição
A	Non-financial loss fraud
B	Financial loss fraudo
C	False positive
D	Others – detail on the field “conclusão”

#### 4. Over-the-counter Manual

The Manual applies to Participants in the Registration Subsystem of the over-the-counter (OTC) segment with the access categories of Investor Custodian, Securities Intermediary, or Client Participant.

Participants with access to the above categories and who trade the following assets: CRA, CRI, CFF, COE, DEB, and Derivatives with and without CCP, are required to adhere to the standards and guidelines established in the Manual.

The registration process will be applicable to the Over-The-Counter Manual, and the following Access Categories are applicable to this process:

- Investor Custodian
- Securities Intermediary
- Client Participant

#### 2026 Participant Scope

BSM commits to conduct a thorough evaluation of the scope of Participants who must submit the layouts by 2026. This meticulous process aims to ensure a gradual start for all involved, allowing for adaptation to the process without disruptions from the new requirements. The analysis will be conducted according to BSM's internal procedures and standards, ensuring that all Participants are treated fairly and uniformly.

#### Individual Notification

After evaluating the scope of the Participants, BSM will proceed to individually notify each Participant. This communication will be clear and objective, informing about the obligation and specifying the start date for submitting the layouts. BSM guarantees that all notifications will be sent with adequate advance notice, providing participants with sufficient time to prepare and adapt their systems as necessary.

#### Commitment to Transparency

BSM reaffirms its commitment to transparency and efficiency throughout the notification and layout submission process. Participants can rely on BSM's support to clarify doubts and receive guidance throughout the process, ensuring that compliance with requirements is achieved smoothly and without issues.

This manual serves as a guide for Participants, highlighting the importance of paying attention to BSM communications and strictly following the instructions provided. Adherence to the established procedures not only ensures regulatory compliance but also strengthens the functioning of the Market as a whole.

For questions or more information, participants should contact BSM support through official channels.

### Start and Frequency of File Delivery (Over-the-Counter)

The databases and audit trails defined in the layouts of section 4 must be made available according to the defined frequency.

The delivery schedule for the layouts, including delivery frequency, is published on the BSM website (Participant Audit => Continuous Joint Data Monitoring).

The table below demonstrates the databases and audit trails and respective commencement dates for file delivery:

Mandatory	Process	Database or audit trail	File
April 2026	Client Registration	Client Registration Data, including indication of related persons and qualified investors or market professionals	BALCDADCAD
		Base containing the maximum period for updating client records according to the risk level	BALCMAXICAD
July 2026	AML/CTF	All alerts generated, regardless of whether they were analyzed, in the period recording the conclusion of AML/CTF monitoring analyses	BALCREGISTRO_ALERTASPLD
		Complete list of account holders, together with their respective risk profile changes	BALCALTPERFIL
September 2026	OS	All alerts generated, regardless of whether they were analyzed, in the period recording the conclusion of AML/CTF monitoring analyses	BALCREGISTRO_ALERTASSO

Mandatory	Process	Database or audit trail	File
November 2026	Suitability	Record of the questions and respective answers of the Suitability questionnaire	BALCQUESTIONARIO_SUITABILITY
		Scoring of the responses to the Suitability questionnaire	BALCPONTUACAO_SUITABILITY
		Profiles resulting from the Suitability questionnaire	BALCPERFIL_SUITABILITY
		All records of clients' investment profiles in the listed market, taking into consideration the responses to the Suitability questionnaire	BALCTRILHA_SUITABILITY
		List of products offered for each type of investment profile	BALCPRODUTOSSU
		Risk acknowledgement statement accepted by the client for non-compliant transactions	BALCDESENQUAD
		Risk acknowledgement statement made available to the client for non-compliant transactions	BALCTERMORISC
December 2026	Investment Advisor (AI's)	List of non-exclusive investment advisors	BALCAINAOEXC
		Record of the account holders served by the investment advisor, whether exclusive or non-exclusive	BALCAICLI
		Records of communications of indications of regulatory breaches	BALCINFRAAI
	Manage Custody	Data regarding requests for the transfer of custody of securities submitted by the account holder, whether under the same or different ownership	BALCTRANSFCUST
		Number of portability requests (RCVM 210).	BALCPORTAB
February 2027	Settle Trade	Statement of clients' current account	BALCEXTRATOCC
		Projected client balance according to the operations performed	BACLEXTRATOSP
		Trades and costs of the broker note - Equities	BALCEXTRATOCCB
		Trades and costs of the broker note - Derivatives	BALCEXTRATOCFF
	Account holder registration	Complete account holder registration data	COMPBALCDADCAD
		Attorney-in-fact data	BALCPROCURADOR

Mandatory	Process	Database or audit trail	File
		Controller data – natural person who controls one or more entities	BALCDADOSCONTROLADOR
		Administrator data	BALCADMINISTRADOR
		Parent entity data – entity that controls one or more subsidiaries	BALCCONTROLADORA
		Subsidiary data – entity that is controlled by another entity	BALCENTIDADECONTROLADA
		Affiliate data – where one company holds an equity interest in another without exercising control over it	BALCCOLIGADA
		NRI data – simplified non-resident investor and complete non-resident investor data	BALCDADOSINR
		List of related persons	BALCPEVINC
		Data of the persons authorized to place orders on behalf of one or more account holders	BALCEMISSORAUT

The Participant must comply with the dates, standards and format of deliveries, as established by BSM. Requests for extension of deadlines must be substantiated by the Participant, containing new dates and justifications for BSM's reassessment.

### Forecast implementation schedule for Over-The-Counter layouts

Schedule Over-The-Counter (Forecast)	
Mandatority Forecast	Processo
As of April 2026	Registration (1 <sup>st</sup> stage*)
As of July 2026	AML/CTF
As of September 2026	SO
As of November 2026	Suitability
As of December 2026	Investment Advisor
	Manage Custody
As of February 2027	Settle Trade
	Registration (2 <sup>nd</sup> stage*)
As of March 2027	Collateral
As of July de 2027	Fraud Prevention Mechanism

(\*) Stage 1 – Simplified registration layout

(\*\*) Stage 2 – Full registration layout, along with information as Related Persons, issuers of client orders, etc.

## Layouts and file descriptions (Over-the-Counter Manual)

### 4.1 Account holder Registration

#### 4.1.1 Account holder Registration Data, including indication of Related Persons and Qualified Investors (Simplified)

File description: Account holder registration data

Objective: Monitoring of account holders who traded with outdated registration, according to the Risk Classification Policy defined by the Participant (BRA); and (ii) operations involving individuals prohibited by CVM, as informed on the regulator's website;

File name: BALCDADCAD

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo of active clients<sup>35</sup> on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	Nome Simplificado Participante	-	Simplified Participant Name (NoMe)	Text	-	Yes
2	Nome Sistema	-	Name of the registration system	Text	-	Não

<sup>35</sup> Active client: (i) the client that, in the past 12 (twelve) months, the individual must have: a) conducted transactions in their current account or in their custody position; b) executed operations in the securities market; or c) maintained a balance in their custody position (RCVM 50, Act 2, VI, a, b, c); and (ii) clients with active status on B3 system.

Ref:	Field	Layout	Description	Type	Format	Mandatory?
3	CNPJ do Participante	-	Participant CNPJ	Text	Plain text, without check digit and without punctuations (“.”, “-” or “,”)	Yes
4	Investidor Qualificado	All type of person	Indication regarding the declaration of investor: “Qualified”, “Professional”, and “No applicable”	Text	“Q”, “P” ou “NA” <sup>36</sup>	Yes
5	Data Cadastro	All type of person	Date of first registration carried out with the Participant	Date (BRT)	aaaa-mm-dd	Yes
6	Data Atualização	All type of person	Date of the last registration update carried out with the Participant (according to expiration date or request (BRA))	Date (BRT)	aaaa-mm-dd	Yes
7	Classificação Risco	All type of person	Risk classification defined by the Participant (Do not send the risk classification with special character)	Text	-	Yes (*)
8	PEP	All individuals	If a politically exposed person, after the diligence carried out by the Participant	Text	S/N	Yes
9	CPF/CNPJ	All type of person	CNPJ (EIN); Account holder CPF (Resident)	Text	Plain text, without check digit and without punctuations (“.”, “-” or “,”)	Yes
10	Status	All type of person	Account holder blocked from acquiring securities (i.e: outdated registration and blocked)	Text	S/N	Yes

(\*) The field must follow the nomenclature used in layout 4.1.2. Otherwise, the test will not be executed.

<sup>36</sup> “Q - Qualified”, “P - Professional” ou “NA – No applicable”

### 4.1.2 Risk Level for Registration Update

File description: Base containing the maximum period for updating account holder's records according to the risk level

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

File name: BALCMAXICAD

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo on the last day of the evaluated quarter

Ref:	Campo	Descrição	Tipo	Formato	Obrigatório?
1	Nome Simplificado Participante	Simplified Participant Name (NoMe)	Text	-	Sim
2	CNPJ do Participante	Participant CNPJ	Text	Plain text, without check digit and without punctuations (".", "_" or " ")	Sim
3	Nível de Risco	Risk level defined by the Participant (*) (**)	Text	-	Sim
4	Prazo máximo para atualização	Maximum registration update period (in months) defined by the Participant for the risk level.	Number	Number of months	Sim

(\*) Do not send the risk classification with special character

(\*\*) Sort by the lower risk level to the highest (therefore, the lowest risk level at the first line and the highest risk level at the last line)

### 4.1.3 Account holder Registration Data, including indication of Related Persons and Qualified Investors

**File description:** Account holder registration data

**Objective:** (i) Monitoring the completeness of registration data between the Participant's systems and the B3 System (NoMe); (ii) monitoring transactions involving persons prohibited by the CVM, as made available on the regulator's website; and (iii) recording and storing the minimum content required under CVM Resolutions No. 50/2021 and No. 225/2024.

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

- i) Fields containing the term PF: Applicable to the registration of Natural Persons;
- ii) Fields containing the term PJF: Applicable to the registration of Financial Legal Entities (local and non-resident account holders);
- iii) Fields containing the term PJNF: Applicable to the registration of Non-Financial Legal Entities (local and non-resident account holders); and
- iv) Fields marked with "-": Applicable to the registration of Natural Persons and Legal Entities.

**File name:** COMPBALCDADCAD Version 3.1 effective as of the July submission (June base)

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo of active clients<sup>37</sup> on the last day of the evaluated quarter<sup>38</sup>

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<sup>37</sup> Active client: (i) the client that, in the past 12 (twelve) months, the individual must have: a) conducted transactions in their current account or in their custody position; b) executed operations in the securities market; or c) maintained a balance in their custody position (RCVM 50, Act 2, VI, a, b, c); and (ii) clients with active status on SINCAD.

<sup>38</sup> No more than one row shall be submitted per account; the clients' data shall be provided in a single row.

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	CNPJ do Participante	:	Participant CNPJ	Text	Plain text, without check digit and without punctuations (".", "-", " " or ",")	Yes
2	Nome Sistema	:	Name of the registration system	Text	:	No
3	Código Tipo Pessoa	:	Individual; Financial Legal Entity; Non-financial Legal Entity; IF (Investment Fund); Individual Access Registration; Individual Cad&Pag; Individual Foreign If it is an NRI, select the person type and, in field 5 (INR), select the INR type; it is no longer necessary to indicate that it is an NRI in field 4 (Person Type Code).	Text	Options: "PF", "PJF", "PJNF", "FI", "PFCA" <sup>39</sup> , "PFCP" <sup>40</sup> and "PFES" <sup>41</sup>	Yes
4	INR	INR	If the account holder is a non-resident, with full "INRC" registration, with simplified "INRS" registration. In case of not being INR, fill in with "N".	Text	"INRC" and "INRS" or "N"	Yes
5	PV	All types of persons	Person linked to the Participant	Text	Y/N	No
6	Tipo de Investidor	PF, PJF, PJNF, PFCA, INR and PFES	Indication regarding the declaration of investor: "Qualified", "Professional", and "No applicable"	Text	"Q", "P", or "NA" <sup>42</sup>	Yes
7	Data Cadastro	All types of persons	Date of first registration carried out with the Participant	Date (BRT)	yyyy-mm-dd	Yes
8	Data Atualização	All types of persons	Date of the last registration update carried out with the Participant (according to expiration date or request (BRA))	Date (BRT)	yyyy-mm-dd	Yes
9	Classificação de Risco	PF, PJF, PJNF, FI, PFCA, INRC, INRS and PFES	Risk classification defined by the Participant (Do not send the risk classification with special character)	Text	:	Yes (*)

<sup>39</sup> Person with "Cadastro de Acesso" accordingly to CVM Resolution 225/2024.

<sup>40</sup> PF with "Cad&Pag do Tesouro Direto" registration.

<sup>41</sup> Individual foreign resident in Brazil, without CPF.

<sup>42</sup> "Q - Qualified", "P - Professional" ou "NA - No applicable"

Ref:	Field	Layout	Description	Type	Format	Mandatory?
10	PEP	PF, PFCA, PFCP, INRC and PFES	If a politically exposed person, after the diligence carried out by the Participant	Text	Y/N	Yes
11	Razão Social	PJF, PJNF, FI and INR	Corporate name of the legal entity, according to registration with B3	Text	-	Yes
12	Nome Completo	PF, PFCA, PFCP, INR and PFES	Name of the account holder, as registered with B3	Text	-	Yes
13	Data Nascimento / Fundação	PF, PJNF, PJF, FI, PFCA, PFCP, INRC and PFES	Date of company's birth or foundation according to registration with B3	Date (BRT)	yyyy-mm-dd	Yes
14	Naturalidade Município	PF	Account holder's place of birth (Municipality), according to registration with B3	Text	-	Yes
15	Naturalidade Estado	PF	Client's birthplace (State), as registered with B3	Text	State	Yes
16	Nacionalidade	PF, PFCA, INRC and PFES	Name of the country that corresponds to the account holder's nationality, as registered with B3	Text	-	Yes
17	Estado Civil	PF, PFCA and PFES	Civil status of the account holder, according to registration with B3	Text	-	Yes
18	CPF/CNPJ	All types of persons	CNPJ (EIN); Account holder CPF (Resident)	Text	Plain text without ".", "-" or ","	Yes
19	Código CVM/ID	INR	CVM Code; Account holder ID (Non-Resident Investor with CVM)	Text	Plain text without ".", "-" or ","	Yes, if NRI
20	Código 88	INR	Account holder code 88 (Non-Resident Investor - Other)	Text	Plain text without ".", "-" or ","	Yes, if NRI
21	Logradouro	PF, PJNF, PJF, PFCA, INRC and PFES	Account holder's address, as registered at B3 (main address only)	Text	-	Yes
22	Complemento	PF, PJNF, PJF, PFCA, INRC and PFES	Complement of the account holder's public address, as registered with B3	Text	-	Yes, if applicable

Ref:	Field	Layout	Description	Type	Format	Mandatory?
23	Bairro	PF, PJNF, PJF, PFCA, INRC and PFES	District of the account holder's address, as registered on B3	Text	-	Yes
24	Cidade	PF, PJNF, PJF, PFCA, INRC and PFES	City of the account holder's address, as registered with B3	Text	-	Yes
25	UF	PF, PJNF, PJF, PFCA, INRC and PFES	State of the account holder's address, as registered at B3	Text	State	Yes, if applicable
26	País	All type of person	Country of the account holder's address, as registered with B3	Text	-	Yes
27	CEP	PF, PJNF, PJF, PFCA, INRC and PFES	Zip code of the account holder's street, as registered at B3, only numbers without a dash	Number	Numbers, without "-"	Yes
28	Número Telefone	PF, PJNF, PJF, PFCA, INRC and PFES	Account holder telephone number, as registered at B3, only numbers with area code, no dash (only the main telephone)	Number	Numbers, with the area code, without "-"	Yes
29	E-mail	PF, PJNF, PJF, PFCA, INRC and PFES	Account holder's email, as registered on B3 (primary only)  Fill in with a single valid account holder email address. If there are multiple email addresses, select the primary one for communication purposes. Do not use delimiters or multiple values.	Text	-	Yes
30	Ocupação/Atividade Econômica	PF, PJNF, PJF, PFCA, INRC and PFES	Professional occupation of the individual account holder, according to registration with B3, or economic activity for other account holders	Text	See "Table 3.9.1.1"	Yes
31	Nome Mãe	PF, INRC and PFES	Account holder's mother's name, as registered at B3	Text	-	Yes, if applicable
32	Nome Cônjuge	PF, INRC and PFES	Name of the account holder's spouse, as registered with B3	Text	-	Yes, if applicable

Ref:	Field	Layout	Description	Type	Format	Mandatory?
33	CPF Cônjuge	PF, INRC and PFES	CPF (SSN) (or another verification ID document) of the account holder's spouse, as registered at B3. No dots or dashes	Number	Plain text without ".", "-", or ","	Yes, if applicable
34	Nome Entidade	PF, INRC and PFES	Name of the entity the account holder works for, when applicable	Text	-	Yes, if applicable
35	CNPJ Entidade	PF, INRC and PFES	CNPJ (EIN) of the entity for which the account holder works, when applicable	Text	Plain text without ".", "-", or ","	Yes, if applicable
36	Opera Terceiros	All types of persons	Indication of the account holder's permission for operations carried out by third parties	Text	Y/N	Yes
37	Faturamento Médio	PJNF	Average account holder's billing over 12 months, according to registration at B3 (or equivalent information, as defined in Policy), with two decimal places	Number	With 2 decimal places separated by ","	Yes
38	Situação Patrimonial	PF, PJNF, PJF, PFCA, INRC and PFES	Account holder's Financial and Patrimonial Situation or Net Equity (or equivalent information, as defined in Policy)	Number	With 2 decimal places separated by ","	Yes
39	Data da Situação Patrimonial	PF, PJNF, PJF, PFCA, INRC and PFES	Last update date of Investor's Patrimonial Situation	Date (BRT)	aaaa-mm-dd	Yes, if applicable
40	Status	All types of persons	Account holder blocked for securities acquisition (e.g.: outdated and blocked registration)	Text	S/N	Yes
41	Renda Anual	PF, INRC and PFES	Sum of the annual income amounts	Number	With 2 decimal places separated by ","	Yes, if applicable
42	Data da Renda Anual	PF, INRC and PFES	Last update date of Investor's Annual Income	Date (BRT)	aaaa-mm-dd	Yes, if applicable
43	Forma de Constituição	INR	Corporate legal structure of the NRI account holder	Text	See "Table 3.9.1.2"	Yes
44	Fundo Exclusivo	FI and INR	Indication if it is an Exclusive Fund or not (if exclusive = S, if investment club = N)	Text	S/N	Yes
45	Organização sem fins lucrativos	PJF, PJNF, FI and INR	Indication of whether the entity is a non-profit organization	Text	S/N	Yes

Ref:	Field	Layout	Description	Type	Format	Mandatory?
46	Indicador de Trust ou veículos assemelhados	INR	Indication of depersonalized entity formed by assets maintained under fiduciary title and assembled in segregated patrimony, separate from the titleholder's general assets	Text	S/N	Yes
47	Documento	PFES and INR	Document number for foreign natural person account holder without CPF	Number	Plain text without ".", "-", or ",",	Yes, if applicable
48	Emancipado	PF, PFCA, PFES, INR	Emancipated minor investor indication	Text	S/N	Yes, if applicable
49	Representante Legal	PF, PFCA, PFES, INR	Name of legal representative in cases of non-emancipated minor investors	Text	-	Yes, if applicable
50	CPF do Representante Legal	PF, PFCA, PFES, INR	CPF number of legal representatives in cases of non-emancipated minor investors	Number	Plain text without ".", "-", or ",",	Yes, if applicable

(\*) The field must follow the nomenclature used in layout 3.9.10. Otherwise, the test will not be executed.

#### 4.1.4 Attorney-in-fact

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

**Objective:** (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

**File name:** BALCPROCURADOR

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	CNPJ do Participante	:	Participant CNPJ	Text	Plain text, without check digit and without punctuations (".", "-", " " or ",")	Yes
2	Código Cliente	:	Account holder code at B3	Text	Plain text, without check digit and without punctuations (".", "-", " " or ",")	Yes
3	Procurador	PF, PJF, PJNF, FI	Name of the account holder's Attorney-in-fact	Text	-	Yes
4	CPF Procurador	PF, PJF, PJNF, FI	CPF (SSN) of the account holder's Attorney-in-fact	Text	Plain text without ".", "-", " " or ",	Yes (*) (**)
5	Logradouro Procurador	PF, PJF, PJNF, FI	Public address of the account holder attorney-in-fact, as registered at B3	Text	-	Yes
6	Complemento Procurador	PF, PJF, PJNF, FI	Complement of the account holder's Attorney-in-Fact's Address	Text	-	Yes
7	Bairro Procurador	PF, PJF, PJNF, FI	District of the account holder's Attorney-in-Fact's Address	Text	-	Yes
8	Cidade Procurador	PF, PJF, PJNF, FI	City of the Account holder's Attorney-in-Fact's Address	Text	-	Yes
9	UF Procurador	PF, PJF, PJNF, FI	State of the account holder's Attorney-in-Fact's Address	Text	State	Yes, if applicable
10	CEP Procurador	PF, PJF, PJNF, FI	Zip code of the account holder'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 account holder's attorney-in-fact, if applicable	Text	Y/N	Yes
12	Descrição Procurador	PF, PJF, PJNF, FI	Description of the powers of the account holder's representative, including the corporate name and the CNPJ, if applicable	Text	-	Yes, if applicable

Ref:	Field	Layout	Description	Type	Format	Mandatory?
13	E-mail do Procurador	PF, PJF, PJNF, FI	Attorney-in-fact's email address	Text	-	Yes, if informed by the account holder
14	Telefone do Procurador	PF, PJF, PJNF, FI	Attorney-in-fact's telephone number	Text	-	Yes, if informed by the account holder

(\*) Field not required if it is from another jurisdiction.

(\*\*) Inform the natural persons who represent the Legal Entity indicated by the account holder.

#### 4.1.5 Controller

(natural person who controls one or more entities)

**File description:** Complementary file for the layout of Account Holder Registration Data, Including Indication of Related Persons and Account Holders (DADCAD)

**Objective:** (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

**File name:** BALCDADOSCONTROLADOR

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	CNPJ do Participante	:	Participant CNPJ	Text	Plain text, without check digit and without	Yes

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

(\*) The changes in nomenclature, structure and/or filling of the fields proposed in this layout will be valid for deliveries made from January/2025. Deliveries to be made before January/2025 must follow the layout structure specified in version 2.1 of this Manual.

#### 4.1.6 Administrator

**File description:** Complementary file for the layout of Account Holder Registration Data, Including Indication of Related Persons and Account Holders (DADCAD)

**Objective:** (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolution No. 50/2021

**File name:** BALCADMINISTRADOR

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated quarter

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

Ref:	Field	Layout	Description	Type	Format	Mandatory?
5	Logradouro Administrador	PJF, PJNF	Address of the account holder's Administrator, as registered with B3	Text	-	Yes, if applicable
6	Complemento Administrador	PJF, PJNF	Complement of the account holder's Administrator's Public Address, if applicable	Text	-	Yes, if applicable
7	Bairro Administrador	PJF, PJNF	District of the account holder's Administrator's Address, if applicable	Text	-	Yes, if applicable
8	Cidade Administrador	PJF, PJNF	City of the account holder's Administrator's location, if applicable	Text	-	Yes, if applicable
9	UF Administrador	PJF, PJNF	State of the account holder's Administrator's Public Address, if applicable	Text	State	Yes, if applicable
10	CEP Administrador	PJF, PJNF	Zip code of the account holder's administrator's address, if applicable, only numbers, no dashes	Number	-	Yes, if applicable
11	PEP Administrador	PJF, PJNF	Indication of a politically exposed person from the account holder administrator, if applicable	Text	Y/N	Yes, if applicable

#### 4.1.7 Parent Company

(entity which controls one or more controlled companies)

**File description:** Complementary file for the layout of Account Holder Registration Data, Including Indication of Related Persons and Account Holders (DADCAD)

**Objective:** (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

**File name:** BALCCONTROLADORA

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	CNPJ do Participante	:	Participant CNPJ	Text	Plain text, without check digit and without punctuations (".", "-", " or ", ",")	Yes
2	Código Cliente	:	Account holder code at B3	Text	Plain text, without check digit and without punctuations (".", "-", " or ", ",")	Yes
3	Razão Social Controladora	PJNF	Corporate name of the account holder's controlling shareholder(s), as per registration at B3	Text	-	Yes
4	CNPJ Controladora	PJNF	CNPJ (EIN) of the account holder'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, if applicable

#### 4.1.8 Subsidiary

(entity which is controlled by another entity)

**File description:** Complementary file for the layout of Account Holder Registration Data, Including Indication of Related Persons and Account Holders (DADCAD)

**Objective:** (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

**File name:** BALCENTIDADECONTROLADA

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	CNPJ do Participante	:	Participant CNPJ	Text	Plain text, without check digit and without punctuations (".", "-", " " or ",")	Yes
2	Código Cliente	:	Account holder code at B3	Text	Plain text, without check digit and without punctuations (".", "-", " " or ",")	Yes
3	Razão Social Controlada	PJNF	Corporate name of the account holder's subsidiary(ies)	Text	-	Yes
4	CNPJ Controlada	PJNF	CNPJ (EIN) of the account holder'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, if applicable

(\*) The changes in nomenclature, structure and/or filling of the fields proposed in this layout will be valid for deliveries made from January/2025. Deliveries to be made before January/2025 must follow the layout structure specified in version 2.1 of this Manual.

#### 4.1.9 Affiliate

(When a company has participation of another company's capital without exercising control over it)

**File description:** Complementary file for the layout of Account Holder Registration Data, Including Indication of Related Persons and Account Holders (DADCAD)

**Objective:** (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

**File name:** BALCCOLIGADA

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

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

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	CNPJ do Participante	:	Participant CNPJ	Text	Plain text, without check digit and without punctuations (".", "-", " " or ",")	Yes
2	Código Cliente	:	Account holder code at B3	Text	Plain text, without check digit and without punctuations (".", "-", " " or ",")	Yes
3	Razão Social Coligada	PJNF	Corporate name of the account holder's affiliate(s)	Text	-	Yes
4	CNPJ Coligada	PJNF	CNPJ (EIN) of the account holder'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, if applicable

#### 4.1.10 NRI data

(Simplified Non-Resident Investor and Full Non-Resident Investor)

**File description:** Complementary file for the layout of Account Holder Registration Data, Including Indication of Related Persons and Account Holders (DADCAD)

**Objective:** (i) Monitoring the completeness of registration data between Participant's system versus B3 system (Sincad); and (ii) registration and storage of the minimum content required by CVM Resolutions 50/2021

**File name:** BALCDADOSINR

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated quarter

Ref:	Field	Layout	Description	Type	Format	Mandatory?
1	CNPJ do Participante	:	Participant CNPJ	Text	Plain text, without check digit and without punctuations (".", "-", " " or ";")	Yes
2	Código Cliente	:	Account holder 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 account holders, inform the name of the person authorized to issue orders in the country	Text	-	Yes

Ref:	Field	Layout	Description	Type	Format	Mandatory?
4	Nome Adm INR	PF, PJF, PJNF, FI	In the case of non-resident account holders, 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 account holders, provide the name of the legal representative	Text	-	Yes
6	Nome Custodia INR	PF, PJF, PJNF, FI	In the case of non-resident account holders, 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 account holders, 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 account holders, 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 account holders, 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 account holders, inform the CPF/CNPJ (SSN/EIN) of the person responsible for custody	Text	Plain text without ".", "-", or ",",	Yes

#### 4.1.11 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:** Conciliation of the information of related persons with NoMe

**File name:** BALCPEVINC

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated month

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	Código PV	Link code description	Text	See "Table 7"	Yes
4	Data_Vinculo	Date from which the link became valid	Date (BRT)	yyyy-mm-dd	Yes
5	Data_Desvinculo	Date on which the PV left the Institution	Date (BRT)	yyyy-mm-dd	No (**)

(\*) Code 99 for NRI (Non-Resident Investor)

(\*\*) Required only if disassociated during the analysis period.

Table 4.1.11 – PV code types	
PV Code	PV type
1	Employee
2	Investments Advisors
3	Third Party
4	Partner
5	Shareholder
6	Spouse
7	Partner
8	Minor Child/Stepchild
9	Controlled company

Table 4.1.11 – PV code types	
PV Code	PV type
10	Investments Funds
11	Investments Clubs

#### 4.1.12 Authorized Issuers

**File description:** Data of persons authorized to issue orders on behalf of one or more account holders

**Objective:** Monitoring authorized issuers issuing orders on behalf of account holders

**File name:** BALCEMISSORAUT

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated quarter

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	Text	Plain text without “.”, “-“ or “,”	Yes
2	Identificador Emissor	CPF (SSN), CVM code of the issuer or Passport	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	-	Yes, if applicable
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	CPF/CNPJ do Comitente	CNPJ; Account holder CPF	Text	Plain text without “.”, “-“ or “,”	Yes
8	Nome Comitente	Full name or company name of the account holder, as registered with B3	Text	-	Yes

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

## 4.2 Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction (“AML/CTF”)

### 4.2.1 Alerts and Records of AML/CTF Alert Analysis Conclusions

**File description:** All alerts generated, regardless of whether they were analyzed, in the period recording the conclusion of AML/CTF monitoring analyses.

**Objective:** (i) Monitoring analyzes generated and the deadline for analysis conclusions after the alert is triggered (AML/CTF); and (ii) Monitoring of communications of analyzes to COAF beyond 24 hours.

**File name:** BALCREGISTRO\_ALERTASPLD

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**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
Feb, 202X	Alerts generated in November 202X and December 202X
Apr, 202X	Alerts generated in January 202X and February 202X
Jun, 202X	Alerts generated in March 202X and April 202X
Aug, 202X	Alerts generated in May 202X and June 202X
Oct, 202X	Alerts generated in July 202X and August 202X
Dec, 202X	Alerts generated in September 202X and October/202X

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	Text	Plain text without “ ”, “-” or “.”	Yes
2	Nome Sistema	Name of the alert analysis recording system	Text	-	No

Ref:	Field	Description	Type	Format	Mandatory?
3	Data Acionamento	Alert triggering date	Date	yyyy-mm-dd	Yes
4	Forma análise	Detail the form of CPF/CNPJ analysis or account holder code	Number	CPF/CNPJ = "0" or Account holder Code = "1"	Yes
5	Código Cliente	Account holder code at B3	Text	Plain text, without check digit and without punctuations (".", "-", or ",")	Yes, if applicable (*)
6	CPF/CNPJ	CNPJ (EIN); Account holder CPF (SSN)	Text	Plain text without ".", "-", or ","	Yes (*)
7	Código CVM/ID	CVM code/account holder ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "-", or ","	Yes (*)
8	Código 88	Account holder code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "-", or ","	Yes (*)
9	Nome	Account holder name	Text	-	Yes, if applicable
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 (**)
16	Classificação de risco	Risk classification of the alert issued	Text	-	Yes, if applicable
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	-	Yes, if applicable

Ref:	Field	Description	Type	Format	Mandatory?
20	Periodicidade	Frequency (in days) established by the Participant for conducting the analysis	Number	Number of Days	Yes
21	Dias úteis ou corridos	Business days or calendar days	Number	Business days = "0" or calendar days = "1"	Yes

(\*) Mandatory depending on the answer in column 4 (analysis form) – CPF/CNPJ (SSN/EIN) or Account holder code.

(\*\*) Mandatory only for alerts that have been analyzed and concluded.

(\*\*\*) Mandatory only for analysis that was reported to COAF.

(\*\*\*\*) In cases where the alert was generated for more than one account holder, insert one row per account holder repeating the alert data.

#### 4.2.2 Account holders with changes in risk profiles

**File description:** Complete list of account holders and their respective risk profile changes.

**Objective:** Continuous monitoring of the Account holder's risk profile

**File name:** BALCALTPERFIL

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo of the last day of the evaluated quarter (for all account holders whose risk classification was changed during the three-month period).

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	Text	Plain text without ".", "-", or "	Yes
2	Nome Sistema	Name of the risk profile system	Text	-	No
3	CPF/CNPJ	CNPJ (EIN); Account Holder CPF (SSN) <sup>43</sup>	Text	Plain text without ".", "-", or "	Yes, if applicable
4	Código CVM/ID	CVM code/account holder ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "-", or "	Yes, if applicable
5	Código 88	Account holder code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "-", or "	Yes, if applicable

<sup>43</sup> It is not necessary to submit clients deactivated during the period.

Ref:	Field	Description	Type	Format	Mandatory?
6	Classificação atual	Current Risk Classification	Text	-	Yes
7	Data atual	Date of current risk classification	Date	yyyy-mm-dd	Yes
8	Classificação anterior	Previous risk classification	Text	-	Yes
9	Data anterior	Date of previous Risk classification	Date	yyyy-mm-dd	Yes

## 4.3 Supervision of Operations and Orders

### 4.3.1 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 analysis

**Objective:** Monitoring analysis generated and the deadline for analysis conclusions after the alert is triggered

**File name:** BALCREGISTRO\_ALERTASSOO

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**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
Feb, 202X	Alerts generated in November 202X and December 202X
Apr, 202X	Alerts generated in January 202X and February 202X
Jun, 202X	Alerts generated in March 202X and April 202X
Aug, 202X	Alerts generated in May 202X and June 202X
Oct, 202X	Alerts generated in July 202X and August 202X
Dec, 202X	Alerts generated in September 202X and October/202X

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	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 account holder code	Number	CPF/CNPJ = "0" or	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				Account holder Code = "1"	
5	Código Comitente	Account holder code at B3	Text	Plain text, without check digit and without punctuations (".", "-" or ",",)	Yes, if applicable (***)
6	CPF/CNPJ	CNPJ (EIN); Account holder CPF (SSN)	Text	Plain text without ".", "-" or ","	Yes (*) (***)
7	Código CVM/ID	CVM code/account holder ID (Non-Resident Investor with CVM)	Number	Plain text without ".", "-" or ","	Yes (*) (***)
8	Código 88	Account holder code 88 (Non-Resident Investor - Other)	Number	Plain text without ".", "-" or ","	Yes (*) (***)
9	Name	Account holder name	Text	-	Yes, if applicable
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	-	Yes, if applicable
16	Data Registro	Analysis completion record date	Date	yyyy-mm-dd	Yes (**)
17	Data comunicação administração	Date of communication to the Senior Administration	Date	yyyy-mm-dd	Yes, if applicable
18	Data comunicação regulador	Date of communication to Regulatory bodies	Date	yyyy-mm-dd	Yes, if applicable
19	Regulador comunicado	Notified Regulatory Body	Text	CVM = "0" BSM "1" or CVM and BSM = "2"	Yes, if applicable
20	Campo livre	Free use field of the Participant for internal references (if necessary).	Text	-	Yes, if applicable
21	Periodicidade	Frequency (in days) established by the Participant for conducting the analysis	Number	Number of Days	Yes

Ref:	Field	Description	Type	Format	Mandatory?
22	Dias úteis ou corridos	Business days or calendar days	Number	Business days = "0" or calendar days = "1"	Yes

(\*) Mandatory for the type of account holder (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 Account holder code.

(\*\*\*\*) In cases where the alert was generated for more than one account holder, insert one row per account holder repeating the alert data.

## 4.4 Manage Custody

### 4.4.1 Custody Transfer Request made by the Account Holder

**File description:** Data on securities custody transfer requests made by the account holder (same or different ownership) and Portability

**Objective:** Assess whether the transfers were conducted within the regulatory deadline.

**File name:** BALCTransFCUST

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to the last day of the previous bimester (list covering the last two-month basis – only the concluded in the period)

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	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
5	Usuário	User used to request custody transfer	Text	-	Yes
6	CPF/CNPJ do Comitente de Origem	CNPJ (EIN); Account holder CPF (SSN)	Text	Plain text, without check digit and without punctuations (“.”, “-” or “,”)	Yes
7	CPF/CNPJ do Comitente de Destino	CNPJ (EIN); Account holder CPF (SSN)	Text	Plain text, without check digit and without punctuations (“.”, “-” or “,”)	Yes
8	CNPJ do Participante Destino	Participant CNPJ	Text	Plain text without “.”, “-” or “,”	Yes

Ref:	Field	Description	Type	Format	Mandatory?
9	Ativo	Asset requested for custody transfer	Text	(*)	Yes
10	Código ISIN	Instrument's ISIN Code	Text	Plain text, without check digit and without punctuations (" ", "-" or ";") (*)	Yes
11	Quantidade	Amount requested for custody transfer per asset	Number	(*)	Yes
12	Ocorrências	Options regarding the status of requests	Text	See "Table 5"	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	Yes
15	Motivo	Description of the reason in case of a rejected, canceled or pending request (account holder/Participant)	Text	:	Only if Status = "R", "C", "PP" or "PC"
16	ID da solicitação de transferência	Transfer request number/code	Text	:	Yes
17	Prazo	Estimated deadline for completing the process	Date	yyyy-mm-dd	Only if Status = "I" or "PP"
18	Situação da transferência	Transfer completed in full (I) or partially (P)	Text	I or P	Yes
19	Origem da Solicitação	Transfer request made by origin (O) or destination (D) intermediary	Text	O or D	Yes
20	Tipo de Transferência	Transfer request made through STVM (S) or Portability (P)	Text	S or P	Yes

(\*) 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;

Table 5 – Format and description of statuses	
Information	Request status description
I	Inserted
R	Rejected

Table 5 – Format and description of statuses	
Information	Request status description
<b>C</b>	Canceled by the Origin Participant
<b>CC</b>	Canceled by the account holder
<b>PP</b>	Participant Pending
<b>PD</b>	Participant Destination Pending
<b>PC</b>	Pending Account holder
<b>PS</b>	Issue resolved by the Account holder
<b>CO</b>	Concluded
<b>CI</b>	Communicated to the investor <sup>44</sup>
<b>RS</b>	Rejected by Subscription
<b>CD</b>	Canceled by Destination Participant

#### 4.4.2 Portability Request (RCVM 210)

**File description:** Number of portability requests (RCVM 210)

**Objective:** Assess whether the portability requests were conducted within RCVM 210.

**File name:** BALCPORTAB

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to the last day of the previous quarter (last four months basis)

Ref:	Field	Description	Type	Formar	Mandatory?
1	CNPJ do Participante	Participant CNPJ	Text	Plain text without ".", "–" or " "	Yes
2	Data do Evento (mês)	Month of the portability requests	Text	-	Yes
3	Número Solicitação Origem	Requests made directly to the custodian or origin intermediary	Number	-	Yes

<sup>44</sup> Submit in the layout all formal communications made with the client during the custody transfer process

Ref:	Field	Description	Type	Formar	Mandatory?
4	Número Solicitação destino	Requests submitted to the central depository and either the custodian or destination intermediary, and subsequently communicated to the custodian or origin intermediary	Number	-	Yes
5	Número Canceladas	Canceled requests, regardless of the institution where the cancellation was requested	Number	-	Yes, if applicable
6	Atendidas Prazo Regulamentar	Requests fully fulfilled within the regulatory deadline	Number	-	Yes, if applicable
7	Atendidas Prazo Estendido	Requests fully or partially fulfilled within the extended deadline	Number	-	Yes, if applicable
8	Número Recusadas	Requests fully or partially denied	Number	-	Yes, if applicable

## 4.5 Suitability

### 4.5.1 Suitability Questionnaire Questions and Answers

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

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

**File name:** BALCQUESTIONARIO\_SUITABILITY

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to last day of the previous quarter (last three-month basis)

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	Text	Plain text without “.”, “-“ or “,”	Yes
2	Nome Sistema	Identification of the system used to fill out the form	Text	-	No
3	CPF/CNPJ	Account holder's CNPJ; CPF	Text	Plain text without “.”, “-“ or “,”	Yes
4	Versão do questionário	Version of the questionnaire answered by the Account holder	Text	See layout 4.5.2	Yes (*)
5	ID_Pergunta	Question identification	Text	See layout 4.5.2	Yes (**)
6	ID_Resposta	Identification of the option selected by those who filled out the form (*****)	Text	See layout 4.5.2	Yes (**)
7	Pontuação	Score/Weight of the answer (*****)	Number	See layout 4.5.2	Yes (**)
8	Perfil	Final Profile Name assigned to the account holder	Text	See layout 4.5.3	Yes (***)
9	Usuário	User responsible for filling out the questionnaire (account holder or Participant internal user)	Text	-	Yes
10	Data	Date of completion of the questionnaire	Date	yyyy-mm-dd	Yes

Ref:	Field	Description	Type	Format	Mandatory?
11	Hora	Time of questionnaire filling out	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
12	Perfil Raia (****)	Profile Name corresponding to the account holder response (to the Participants that uses the lane method)	Text	-	Yes, if applicable

(\*) Fill in the version of the questionnaire used during the period.

(\*\*) The fields shall comply with the standard established in layout 4.5.2. Otherwise, the test shall not be performed.

(\*\*\*) The field shall comply with the nomenclature adopted in layout 4.5.3. Otherwise, the test shall not be performed.

(\*\*\*\*) Score by band, where the score is calculated based on the profile linked to the response option (field applicable only to Participants that use the band method to calculate the Suitability profile).

#### 4.5.2 Suitability Questionnaire Score

File description: Score of answers to the Suitability questionnaire

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

File name: BALCPONTUACAO\_SUITABILITY

Frequency: The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

Scope: Photo of the last day of the evaluated quarter

Ref:	Field	Description	Type	Mandatory?
1	ID_Pergunta	Question identification	Text	Yes
2	Pergunta	Question to the account holder	Text	Yes
3	ID_Resposta	Identification of the answer option selected by the account holder	Text	Yes
4	Opção_Resposta	Answer options for each question	Text	Yes
5	Pontuação	Score/Weight of the answer	Number (With 2 decimal places separated by ",")	Yes
6	Versão do questionário	Questionnaire version	Text	Yes

#### 4.5.3 Suitability Questionnaire Profile

**File description:** Suitability questionnaire profiles

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

**File name:** BALCPERFIL\_SUITABILITY

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo of the last day of the evaluated quarter

Ref:	Field	Description	Type	Mandatory?
1	Pontuação mínima	Minimum score for the profile	Number (With 2 decimal places separated by ",")	Yes
2	Pontuação máxima	Maximum score for the profile	Number (With 2 decimal places separated by ",")	Yes
3	Perfil	Profile Name (*)	Text	Yes
4	Versão do questionário	Questionnaire version	Text	Yes

(\*) **Sort from the most conservative profile to the most aggressive** (i.e. the most conservative profile on the first line and the most aggressive on the last line)

#### 4.5.4 Account Holder Investment Profile Base

**File description:** All account holders investment profile records (in the over-the-counter market) considering the answers to the Suitability questionnaire

**Objective:** Monitoring the investment profile assigned to account holders

**File name:** BALCTRLHA\_SUITABILITY

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to last day of the previous quarter (last three month basis) (Full base of all active account holders<sup>45</sup>)

<sup>45</sup>Active client: (i) the client that, in the past 12 (twelve) months, the individual must have: a) conducted transactions in their current account or in their custody position; b) executed operations in the securities market; or c) maintained a balance in their custody position (RCVM 50, Act 2, VI, a, b, c); and (ii) clients with active status on SINCAD.

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	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 Comitente	Account holder code at B3	Text	Plain text, without check digit and without punctuations (".", "-" or ",")	Yes
6	Perfil	Account holder investment profile	Text	-	Yes
7	Usuário	User who inserted or changed the profile (account holder or Participant internal user)	Text	-	Yes

#### 4.5.5 Products Offered by Investment Profile

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

**Objective:** Monitoring products offered to account holders outside the investment profile

**File name:** BALCPRODUTOSSU

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo of the last day 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 "Table 4" (*) (***)	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 4 – 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
OT	Others

#### 4.5.6 Risk term for non-compliant operations

**File description:** Risk term accepted by the account holder for non-compliant operations

**Objective:** Monitoring communications to account holders regarding profile non-compliance

**File name:** BALCDESENQUAD

**Frequency:** On demand

**Scope:** On demand

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	Text	Plain text without “ ”, “-“ or “_”	Yes
2	Nome da ferramenta	Tool name	Text	-	No
3	Data	Date on which the account holder accepted the risk term for the non-compliant transaction.	Date	yyyy-mm-dd	Yes

Ref:	Field	Description	Type	Format	Mandatory?
4	Hora	Time at which the account holder accepted the risk term for the non-compliant transaction.	Time (BRT)	hh:mm:ss or hh:mm:ss,sss	Yes
5	CPF/CNPJ	CNPJ: account holder CPF	Text	Plain text, without check digit and without punctuations (".", "-" or ";")	Yes
6	AccountId	Identification of the account holder'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

#### 4.5.7 Risk Term Content

**File description:** Risk term made available to the account holder in non-compliant operations

**Purpose:** Monitoring communications to account holders regarding non-compliance with the profile

**File name:** BALCTERMORISC

**Frequency:** On demand

**Scope:** On demand

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

## 4.6 Investment Advisors (AI's)

### 4.6.1 Non-exclusive Investment Advisor

**File description:** List of non-exclusive AIs

**Objective:** Transaction monitoring and monitoring of authorized issuers that submit orders on behalf of Account Holders.

**File name:** BALCAINAOEXC

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated month

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	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 performs a role other than operator	Text	Y/N	Yes
8	Operações	Institution Code (B3) in which the AI (investment advisor) is authorized to conduct	Number	-	Yes(*)

Ref:	Field	Description	Type	Format	Mandatory?
		operations on its own behalf, personal investments (as per CVM Resolution 35)			
9	Data Início acordo	Start date of the agreement to carry out operations at the field 8 institution	Date	yyyy-mm-dd	Yes

(\*) Mandatory information only for Participants which the AI is authorized to carry out operations in their own name. Otherwise, fill the field with "-".

#### 4.6.2 Account Holders Served by the Investment Advisors (AI's)

**File description:** Record of clients served by the IA (whether the IA is exclusive or not)

**Indicator:** Monitoring of operations

**File name:** BALCAICLI

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** Photo on the last day of the evaluated month

**Observation:** The file will be used for BSM supervision purposes. The results will not be reported through MC<sup>2</sup>D. However, they will be considered in the delivery percentage.

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	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	See "Table 6"	Yes
6	CEP	Zip code of the Investment Advisor Headquarters	Number	-	Yes

Ref:	Field	Description	Type	Format	Mandatory?
7	E-mail	Investment Advisor e-mail domain	Text	@example.com	Yes
8	Nome Comitente	Full name of the account holder served by the IA	Text	-	Yes (*)
9	CPF/CNPJ	CNPJ or CPF of the account holder	Text	Plain text without ".", "-", or ","	Yes (*)
10	Código CVM/ID	CVM code/client ID (Non-Resident Investor with CVM)	Text	Plain text without ".", "-", or ","	Yes (*)
11	Código 88	Client code 88 (Non-Resident Investor - Other)	Text	Plain text without ".", "-", or ","	Yes (*)
12	Start Date	Start date of the relationship with the Advisor Investor	Date	aaaa-mm-dd	Yes
13	End Date	End date of the relationship with the Advisor Investor	Date	aaaa-mm-dd	Yes, if applicable

(\*) 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;

Table 6 – Localidade do assessor de investimento pessoa natural	
Code	Location
M	Participating Headquarters
F	Participating Branch
E	External / IA Office

### 4.6.3 Communications concerning indications of violations (AI's)

**File description:** Records of communications of signs of violation

**Indicator:** Monitoring signs of violation involving Investment Advisors

**File name:** BALCINFRAAI

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** From the first to the last day of the previous quarter (covering the previous 3-month period)

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	Text	Plain text without “.”, “-” or “,”	Yes
2	Data	Date of the finding	Date	aaaa-mm-dd	Yes
3	Nome da sociedade do AI	Corporate name of the Investment Advisor legal entity	Text	-	Yes, if applicable
4	CNPJ da sociedade do AI	CNPJ of the Investment Advisor legal entity	Text	Plain text without “.”, “-” or “,”	Yes, if applicable
5	Nome do Assessor	Name of the Investment Advisor – Individual	Text	-	Yes
6	CPF do Assessor	CPF of the Investment Advisor – Individual	Text	Plain text without “.”, “-” or “,”	Yes
7	ID da conduta	Identification of the conduct	Text	See “Table 4.6.3”	Yes
8	Descrição da conduta	Detailed description of the identified conduct	Text	-	Yes, if applicable
9	Medidas Adotadas	Detailed description of the measures adopted by the Institution	Text	-	Yes
10	Atenuantes e agravantes	Description of any mitigating and aggravating factors considered	Text	-	Yes, if applicable
11	Penalidades	Description of the penalties applied	Text	-	Yes

Table 4.6.3 – Identification of the conduct	
Conduct ID	Identified Conduct
A	Orders (absence of order, improper execution, order forgery, post-trade confirmation, etc.)
B	Suitability (offering of irregular products, change in investment profile, transactions outside the client’s profile, etc.)
C	Delegation of the Investment Advisor function to third parties
D	Non-compliance with the LGPD (sharing sensitive and confidential client data, requesting client access credentials such as login, password, token, etc.)
E	AML/CFT/CPF and Supervision of Operations and Orders (churning, atypical transactions, insider trading, front running, etc.)
F	Fraud (financial pyramid schemes, document forgery, etc.)
G	Receiving from clients, or delivering to them, cash, securities, financial instruments or other assets, except for the receipt of remuneration for services

<b>Table 4.6.3 – Identification of the conduct</b>	
<b>Conduct ID</b>	<b>Identified Conduct</b>
<b>H</b>	Outdated Articles of Association
<b>I</b>	Irregular media content (website, social media, advertising materials, etc.)
<b>J</b>	Irregular activity as an Investment Advisor (non-compliance with RCVM 178, carrying out the activities of a Securities Analyst, Securities Consultant, or Asset Manager)
<b>K</b>	Issuance of account statement (non-official statement of the Participant)
<b>L</b>	Irregularity related to the channel used for order receipt
<b>M</b>	Failure to provide information to the client
<b>N</b>	Intentionally acting as counterparty in transactions carried out by one's own clients
<b>O</b>	Shared origin (client and investment advisor submitting orders from the same origin)
<b>P</b>	Operational error
<b>Q</b>	Related person trading through another institution
<b>R</b>	Others (specify in the field "Detailed description of the identified conduct")

## 4.7 Settle Trade

### 4.7.1 Statement of clients' current account

**File Description:** Statement of clients' current account

**Objective:** Monitoring of debt balances of clients

**File name:** BALCEXTRATOCC

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** 3-month base, starting from 1 previous month to the request date, as shown in the example below:

Scope	Base that should be sent to BSM
05/202X	BALCEXTRATOCC trail of the February to April period
08/202X	BALCEXTRATOCC trail of the May to July period
11/202X	BALCEXTRATOCC trail of the August to October period
02/202X	BALCEXTRATOCC trail of the November to January period

Ref:	Field	Description	Type	Format	Mandatory?
1	CNPJ do Participante	Participant CNPJ	Text	Plain text without ".", "-", or ","	Yes
2	Nome Sistema	System name to extract the current account statement	Text	-	No
3	CNPJ/CPF	CNPJ or CPF of the account holder	Text	Plain text without ".", "-", or ","	Yes
4					
5					
6	Nome do Cliente	Client Name	Text	-	Yes
7	Endereço	Address	Text	-	Yes
8	Endereço complemento	Complement	Text	-	No

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

D - Negative balance / C - positive balance

#### 4.7.2 Projected Balance According to Operations Performed

**File Description:** Projected client balance according to the operations performed

**Objective:** Monitoring of client balance

**File:** BALCEXTRATOSP

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** 3-month basis, starting from 1 previous month to the request date, as shown in the example below:

Request Item	Base that should be sent to BSM
05/202X	EXTRATOCC trail do período de 02/2026 e 04/2026
08/202X	EXTRATOCC trail do período de 05/2026 e 07/2026
11/202X	EXTRATOCC trail do período de 08/2026 e 10/2026
02/202X	EXTRATOCC trail do período de 11/2026 a 01/2027

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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 without punctuations (“-”, “_” or “.”)	Yes
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 / C	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 / C	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 / C	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 / C	Yes
14	Saldo do Projetado D2	D2 Client projected total balance	Number	With 2 decimal places	Yes

Ref:	Field	Description	Type	Format	Mandatory?
				separated by “.”	
15	Sinal Projetado D2	D - Negative balance / C - positive balance	Text	D / C	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 / C	Yes
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 / C	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 / C	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 / C	Yes

### 4.7.3 Trades and cost of broker note – Equities

**File Description:** Summary of business and costs of the broker note - Equities<sup>46</sup>

**Objective:** Monitoring of operations

**File:** BALCEXTRATOCBB

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

<sup>46</sup> Options cleared through a CCP

**Scope:** First to the last day of the previous quarter (last three-month basis)

**Observation:** The file will be used for BSM supervision purposes. The results will not be reported through MC<sup>2</sup>D. However, they will be considered in the delivery percentage.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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
5	Data Pregão	Trading Session Date	Date (BRL)	yyyy-mm-dd	Yes
6	Número Nota	Broker note number	Number	-	Yes
7	Código Assessor	Advisor Code	Text	-	Yes
8	Natureza	Indication of debit or credit of net and gross amounts	Text	“Débito” or “Crédito”	Yes
9	Vendas a Vista	Total cash sales in the auction	Number	With 2 decimal places separated by “.”	Yes
10	Compras a Vista	Total cash purchases in the auction	Number	With 2 decimal places separated by “.”	Yes
11	Opções Compra	Total options purchases on the trading floor	Number	With 2 decimal places separated by “.”	Yes
12	Opções Venda	Total options sales on the trading floor	Number	With 2 decimal places separated by “.”	Yes
13	Outras Operações	Other Variable Income operations carried out 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

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

#### 4.7.4 Trades and cost of broker note – Derivatives

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

**Objective:** Monitoring of operations

**File:** BALCEXTRATOCFF

**Frequency:** The schedule for the delivery of the layouts, including the frequency of the deliveries, is published on the BSM website.

**Scope:** First to the last day of the previous quarter (last three-month basis)

**Observation:** The file will be used for BSM supervision purposes. The results will not be reported through MC<sup>2</sup>D. However, they will be considered in the delivery percentage.

Ref:	Field	Description	Type	Format	Mandatory?
1	Código Participante	Participant Code	Number	Without check digit	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

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

## 5. 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](mailto:bsm@bsmsupervisao.com.br) or telephone 55 (11) 2565-6200, option 3 – 1.

## 6. Appendix

### Appendix I – Applicable Processes to Listed Participants by Type of Access of Organized Markets Administered by B3

#### a) Applicable layouts to PN and PNP

The applicability of the processes/layouts may be variable due to the operational model of the Participant

Process	Database or Audit Trails	Files
Retail Liquidity Provider (RLP)	Activation of Educational Triggers	ACIONAMENTOGE
	Submission of Educational Material	ENVIOMTE
	Minimum Margin Parameterization Trail	MARGEM
	Opt-in and Opt-out	OPTIN OPTOUT
	List of Clients adhering to the use of RLP	BASEOPTIN
Suitability	Suitability Questionnaire Questions and Answers	QUESTIONARIO_SUITABILITY
	Suitability Questionnaire Score	PONTUACAO_SUITABILITY
	Suitability Questionnaire Profile	PERFIL_SUITABILITY
	Client Investment Profile Base	TRILHA_SUITABILITY.
	Products Offered by Investment Profile	PRODUTOSSU
	Risk term for non-compliant operations	DESENQUAD
	Risk Term Content	TERMORISC
Compulsory Liquidation	Communications to clients	LCALERTAS
	Blocking and Unblocking for the Client's Compulsory Liquidation	LCBLOQUEIO
	Guarantee Allocation	LCALOCGARANTIAS
	Position Control	LCCONTROLE
	Compulsory Liquidation	LCZERAGEM
	Compulsory Liquidation Parameterizations	PARAMETROLIQ
Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction ("AML/CTF")	Alerts and Records of AML/CTF Alert Analysis Conclusions	REGISTRO_ALERTASPLD
	Clients with changes in risk profiles	ALTPERFIL
	AML/CTF trainings accomplished by collaborators and representatives	TREINAPLD
Supervision of Operations and Orders	Alerts and Record of Completed Analysis of Operations and Orders Supervision Alerts	REGISTRO_ALERTASSOO
Manage Custody	Custody Transfer Request made by the Client	TRANSFCUST
	Portability Requests (RCVM210)	PORTAB (*)

Process	Database or Audit Trails	Files
Settle Trade	Statement of clients' current account	GAB800 or EXTRATOCC
	Projected Balance According to Operations Performed	GAB807 or EXTRATOSP
	Trades and cost of broker note – Equities	GAB107 (for Sinacor) or EXTRATOCCB
	Trades and cost of broker note – Derivatives	GAB119 (for Sinacor) or EXTRATOCCF
Investment Advisors (AI's)	Non-exclusive Investment Advisor	AINAOEXC
	Clients Served by the Investment Advisors (AI's)	AICLI
	Records of communications related to evidence of regulatory breaches	INFRAAI
Client Registration	Client Registration Data, including indication of Related Persons and Qualified Investors	DADCAD
	Attorney-in-fact	PROCURADOR
	Controller	DADOSCONTROLADOR
	Administrator	ADMINISTRADOR
	Parent Company	CONTROLADORA
	Subsidiary	ENTIDADECONTROLADA
	Affiliate	COLIGADA
	NRI Data	DADOSINR
	List of Related Persons	PEVINC
	Risk Level for Registrarion Update	MAXICAD
Financing for Share Purchases and Loans	Authorized Issuers	EMISSORAUT
	Joining to Financing for Share Purchases and Loans Product	CMADESAO
	Clients who Operate Financing for Share Purchases and Loans	CMOPER
	List of financing and guarantees for clients who operated on the Financing for Share Purchases and Loans	CMFINGAR
Operations carried out through Financing for Share Purchases and Loans	CTAMARGEM	
Execute Orders	List of Account Codes by Category	EOCODCONT
	Portfolios managed by the Participant	CICARTGER
	Inclusion, change and cancellation of orders trail	ORDENS
	Order Summary Trail	RESUORD
	Session Purpose	FINASESSAO
	Record of occurrence of operations recorded in the Operational Error Account	LANCERRO
Manage Risks	Pre-Operational Risk – Inclusion and Change of Limits	RISCOPE
	Post-Operational Risk – Inclusion and Change of Limits	RISCOPOS

Process	Database or Audit Trails	Files
Treasury/Current Account	Inclusion and Maintenance of Financial Values Manually Entered into Client Accounts	LANCMANC
Information Security	Administrative Activities in Systems	ADMINSIST
	User lists of the scoped systems	USUARIOS
	Trail of Records of Entry and Exit Access to Trading Platforms	ENTRADAESAIDA
	List of Employees (Active, Terminated and Third Party)	COLABORADORES
Infrastructure Support	Voice Recording Inventory	INVENTARIOVOZ / RAMAL
	Records of Downtime of Order Recording Systems (Voice and Messaging)	INCIDENTES_CANAL
Fraud Prevention Mechanisms	Fraud prevention monitoring and registration	PREVFRAUDE

(\*) Não aplicável ao PN Aberto. Os demais processos são aplicáveis, dependendo da forma de contratação do serviço prestado pelo PNP.

## b) Applicable layouts to Custodian

The applicability of the processes/layouts may be variable due to the operational model of the Participant

Process	Database or Audit Trails	Files
Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction (“AML/CTF”)	Alerts and Records of AML/CTF Alert Analysis Conclusions	REGISTRO_ALERTASPLD
	Clients with changes in risk profiles	ALTPERFIL
	AML/CTF trainings accomplished by collaborators and representatives	TREINAPLD
Manage Custody	Custody Transfer Request made by the Client	TRANSFCUST
	Portability Requests (RCVM210)	PORTAB
Client Registration	Client Registration Data, including indication of Related Persons and Qualified Investors	DADCAD
	Attorney-in-fact	PROCURADOR
	Controller	DADOSCONTROLADOR
	Administrator	ADMINISTRADOR
	Parent Company	CONTROLADORA
	Subsidiary	ENTIDADECONTROLADA
	Affiliate	COLIGADA
	NRI Data	DADOSINR
Information Security	Risk Level for Registrarion Update	MAXICAD
	Administrative Activities in Systems	ADMINSIST
	User lists of the scoped systems	USUARIOS
	List of Employees (Active, Terminated and Third Party)	COLABORADORES
Infrastructure Support	Voice Recording Inventory	INVENTARIOVOZ / RAMAL
	Records of Downtime of Order Recording Systems (Voice and Messaging)	INCIDENTES_CANAL

Process	Database or Audit Trails	Files
Fraud Prevention Mechanisms	Fraud prevention monitoring and registration	PREVFRAUDE

### c) Applicable layouts to NRI Custodian

The applicability of the processes/layouts may be variable due to the operational model of the Participant.

Process	Database or Audit Trails	Files
Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction ("AML/CTF")	Alerts and Records of AML/CTF Alert Analysis Conclusions	REGISTRO_ALERTASPLD
	Clients with changes in risk profiles	ALTPERFIL
	AML/CTF trainings accomplished by collaborators and representatives	TREINAPLD
Manage Custody	Custody Transfer Request made by the Client	TRANSFCUST
	Portability Requests (RCVM210)	PORTAB
Client Registration	Client Registration Data, including indication of Related Persons and Qualified Investors	DADCAD
	Attorney-in-fact	PROCURADOR (*)
	NRI Data	DADOSINR
	Risk Level for Registrarion Update	MAXICAD
Information Security	Administrative Activities in Systems	ADMINSIST
	User lists of the scoped systems	USUARIOS
	List of Employees (Active, Terminated and Third Party)	COLABORADORES
Infrastructure Support	Voice Recording Inventory	INVENTARIOVOZ/RAMAL (**)
	Records of Downtime of Order Recording Systems (Voice and Messaging)	INCIDENTES_CANAL (**)
Fraud Prevention Mechanisms	Fraud prevention monitoring and registration	PREVFRAUDE

(\*) Applicable individual person

(\*\*) It may become applicable if there is a request for transfer of custody via telephone.

### d) Applicable layouts to Liquidation Participants

The applicability of the processes/layouts may be variable due to the operational model of the Participant.

Process	Database or Audit Trails	Files
Anti-Money Laundering, Combating the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction ("AML/CTF")	Alerts and Records of AML/CTF Alert Analysis Conclusions	REGISTRO_ALERTASPLD
	Clients with changes in risk profiles	ALTPERFIL
	AML/CTF trainings accomplished by collaborators and representatives	TREINAPLD
Supervision of Operations and Orders	Alerts and Record of Completed Analysis of Operations and Orders Supervision Alerts	REGISTRO_ALERTASSOO
Settle Trade	Statement of clients' current account	GAB800 or EXTRATOCC
	Projected Balance According to Operations Performed	GAB807 or EXTRATOSP
	Trades and cost of broker note – Equities	GAB107 (for Sinacor) or EXTRATOCCB
	Trades and cost of broker note – Derivatives	GAB119 (for Sinacor) or EXTRATOCCF
Client Registration	Client Registration Data, including indication of Related Persons and Qualified Investors	DADCAD
	Attorney-in-fact	PROCURADOR
	Controller	DADOSCONTROLADOR
	Administrator	ADMINISTRADOR
	Parent Company	CONTROLADORA
	Subsidiary	ENTIDADECONTROLADA
	Affiliate	COLIGADA
	NRI Data	DADOSINR
Risk Level for Registration Update	MAXICAD	
Manage Risks	Pre-Operational Risk – Inclusion and Change of Limits	RISCOPE
	Post-Operational Risk – Inclusion and Change of Limits	RISCOPOS
Information Security	Administrative Activities in Systems	ADMINSIST
	User lists of the scoped systems	USUARIOS
	List of Employees (Active, Terminated and Third Party)	COLABORADORES
Infrastructure Support	Voice Recording Inventory	INVENTARIOVOZ / RAMAL
	Records of Downtime of Order Recording Systems (Voice and Messaging)	INCIDENTES_CANAL
Fraud Prevention Mechanisms	Fraud prevention monitoring and registration	PREVFRAUDE

### e) Applicable layouts for Clearing Member

The applicability of the processes/layouts may be variable due to the operational model of the Participant

Process	Database or Audit Trails	Files
Settle Trade	Statement of clients' current account	GAB800 or EXTRATOCC

Process	Database or Audit Trails	Files
	Projected Balance According to Operations Performed	GAB807 or EXTRATOSP
	Trades and cost of broker note – Equities	GAB107 (for Sinacor) ou EXTRATOCCB
	Trades and cost of broker note – Derivatives	GAB119 (for Sinacor) ou EXTRATOCCF
Manage Risks	Pre-Operational Risk – Inclusion and Change of Limits	RISCOPE
	Post-Operational Risk – Inclusion and Change of Limits	RISCOPOS
Information Security	Administrative Activities in Systems	ADMINSIST
	User lists of the scoped systems	USUARIOS
	List of Employees (Active, Terminated and Third Party)	COLABORADORES
Infrastructure Support	Voice Recording Inventory	INVENTARIOVOZ / RAMAL
	Records of Downtime of Order Recording Systems (Voice and Messaging)	INCIDENTES_CANAL

## Appendix II – Relação de Testes realizados no âmbito do MC<sup>2</sup>D por meio de layouts cujos resultados são reportados tempestivamente

Test Code	Test Resume	Files Used	Layout
T1.1	Triggers activated without sending educational material or sending educational material past the deadline	ACIONAMENTOGE; ENVIOMTE	3.1.1; 3.1.2
T1.2	WIN and WDO parametrized with values differing from those required by the regulation.	MARGEM	3.1.3
T1.3	WIN and WDO parametrizations not sent	MARGEM	3.1.3
T1.4	Clients operating RLP products before opting in	OPTIN_OPTOUT; BASEOPTIN	3.1.4; 3.1.5
T1.5	Clients operating RLP products after opting out	OPTIN_OPTOUT; BASEOPTIN	3.1.4; 3.1.5
T1.6	Clients with a conservative profile engaging operations of RLP products	BASEOPTIN; PERFIL_SUITABILITY; TRILHA_SUITABILITY	3.1.5; 3.2.3; 3.2.4
T1.7	Clients without an assigned Suitability profile engaging in RLP product transactions	BASEOPTIN; PERFIL_SUITABILITY; TRILHA_SUITABILITY	3.1.5; 3.2.3; 3.2.4
T9.1	Clients without an assigned risk classification and active in the B3 registration system	DADCAD; MAXICAD	3.9.1; 3.9.10
T9.2	Clients active in the B3 registration system who have not been identified as PEP by the Participant	DADCAD; MAXICAD	3.9.1; 3.9.10

Test Code	Test Resume	Files Used	Layout
T9.3	Clients who operated with outdated registration (according to the date of the last registration update made with the Participant, as per expiration or request (BRA))	DADCAD; MAXICAD	3.9.1; 3.9.10
T9.4	Clients registered in the Participant's database without an assigned risk classification	DADCAD; MAXICAD	3.9.1; 3.9.10
T9.5	Clients registered in the Participant's database who are not listed in the B3 registration system	DADCAD	3.9.1
T9.6	Clients registered in the B3 registration system, but not identified in the database extracted by the Participant's registration system	DADCAD	3.9.1
T9.7	Inconsistencies in the conciliation of mandatory information submitted through the layout with the information from the B3 registration system	DADCAD	3.9.1
T9.8	Inconsistencies in the conciliation of non-mandatory information submitted through the layout with the information from the B3 registration system	DADCAD	3.9.1
T9.9	Inconsistencies in the conciliation of information submitted through the PROCURADOR layout with the information from the B3 registration system	PROCURADOR	3.9.2
T9.10	Inconsistencies in the conciliation of information submitted through the CONTROLADOR layout with the information from the B3 registration system	DADOSCONTROLADOR	3.9.3
T9.11	Inconsistencies in the reconciliation of information submitted through the ADMINISTRADOR layout with the information from the B3 registration system	ADMINISTRADOR	3.9.4
T9.12	Inconsistencies in the reconciliation of information submitted through the CONTROLADORA layout with the information from the B3 registration system	CONTROLADORA	3.9.5
T9.13	Inconsistencies in the conciliation of information submitted through the CONTROLADA layout with the information from the B3 registration system	ENTIDADECONTROLADA	3.9.6
T9.14	Inconsistencies in the reconciliation of information submitted through the COLIGADA layout with the information from the B3 registration system	COLIGADA	3.9.7
T9.15	Inconsistencies in the conciliation of information submitted through the DADOSINR	DADOSINR	3.9.8

Test Code	Test Resume	Files Used	Layout
	layout with the information from the B3 registration system		
T9.16	Investment advisors identified as issuers of client orders	EMISSORAUT; USUARIOS	3.9.11; 3.14.2
T9.17	Desk operators of the Participant identified as issuers of client orders	EMISSORAUT; USUARIOS	3.9.11; 3.14.2
T9.18	Investment advisors and desk operators of the Participant identified as issuers of client orders	EMISSORAUT; USUARIOS	3.9.11; 3.14.2
T9.19	Operations carried out by individuals prohibited by the CVM as listed on the regulator's website	DADCAD	3.9.1
T9.20	Operations carried out by individuals prohibited by the CVM as provided on the regulator's website	DADCAD	3.9.1
T9.21	Operations carried out by related persons without the identification of the final client	PEVINC	3.9.9
T9.22	Non-resident investors listed in the access registration (Cadastro de Acesso)	DADCAD	3.9.1
T9.23	Investors with an inappropriate risk profile for access registration (Cadastro de Acesso)	DADCAD; MAXICAD	3.9.1; 3.9.10
T9.24	Investors exceeding the maximum portfolio limit of the access registration	DADCAD	3.9.1
T9.25	Information present in the Participant's database that is not included in the B3 registration system	DADCAD	3.9.1
T9.26	Absence of mandatory information in the layout submitted by the Participant	DADCAD	3.9.1
T9.27	Inconsistencies in the conciliation of mandatory information submitted through the layout with the information from the B3 registration system	DADCAD	3.9.1
T9.30	Non-compliance with the minimum or maximum number of Club unitholders	PEVINC; USUARIOS	3.9.9; 3.14.2
T9.31	Unitholder holding a number of units in excess of the permitted limit	PEVINC; USUARIOS	3.9.9; 3.14.2
T9.32	Clubs whose majority of units are held by related persons and were not reported in PEVINC	PEVINC; USUARIOS	3.9.9; 3.14.2
T9.33	Managers acting as trading desk operators and/or investment advisers	PEVINC; USUARIOS	3.9.9; 3.14.2
T9.34	Unitholders acting as Managers and receiving remuneration	PEVINC; USUARIOS	3.9.9; 3.14.2

Test Code	Test Resume	Files Used	Layout
T9.35	Unreported related persons (Verify whether all related persons were included in the PEVINC layout)	DADCAD; PEVINC	3.9.1; 3.9.9
T3.1	Compulsory liquidation executed with a sender location record that is non-compliant with the regulations	LCZERAGEM	3.3.5
T3.2	Compulsory liquidation executed with a percentage of loss/consumption in disagreement with the zeroing percentage	LCZERAGEM	3.3.5
T8.1	Related Persons informed by the Participants and not identified as "PV" in the B3 registration system	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.2	Investment Advisors identified in the B3 registration system and not included in the layout	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.3	Related persons who carried out operations through another Institution	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.4	Operations of related person conducted through another institution	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.5	Investment Advisors who have carried out operations through another Institution	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.6	Investment advisor operations carried out through another Institution	PEVINC; AINAOEXC	3.9.9; 3.8.1
T14.1	Users with access to corporate systems without identification of affiliation with the institution	USUARIOS; COLABORADORES	3.14.2; 3.14.4
T14.2	Users with active access to the institution's corporate systems of former employees	USUARIOS; COLABORADORES	3.14.2; 3.14.4
T14.3	Users with access to conflicting activities in the Institution's corporate systems	USUARIOS; COLABORADORES	3.14.2; 3.14.4
T14.4	Users with access to critical activities without adequate certification	USUARIOS; COLABORADORES	3.14.2; 3.14.4
T14.5	Users with access to critical activities with expired certification	USUARIOS; COLABORADORES	3.14.2; 3.14.4
T4.1	Conclusions of the analysis of AML/CTF alerts over 45 days	REGISTRO_ALERTASPLD	3.4.1
T4.2	Reporting identified AML/CTF discrepancies to COAF within 24 hours	REGISTRO_ALERTASPLD	3.4.1
T5.1	Conclusions of the analyses of Supervision of Operation and Order alerts beyond 45 days	REGISTRO_ALERTASSOO	3.5.1
T5.2	Communications of identified divergences in the Supervision of Operations and Orders to	REGISTRO_ALERTASSOO	3.5.1

Test Code	Test Resume	Files Used	Layout
	the regulator and self-regulator within more than 5 working days		
T6.1	Communications to customers regarding the status of custody transfer with a deadline exceeding every 2 business days	TRANSFCUST	3.6.1
T6.2	Custody transfers carried out by the Participant within a period exceeding 2 business days without prior communication to the client	TRANSFCUST	3.6.1
T6.3	Custody transfers cancelled by the Participant early and/or improperly	TRANSFCUST	3.6.1
T6.4	Custody transfers rejected by the Participant early and/or improperly	TRANSFCUST	3.6.1
T12.1	Post-risk threshold changes made by uncertified or inadequately certified users	RISCOPOS; USUARIOS; COLABORADORES	3.12.2; 3.14.2; 3.14.4
T11.1	Orders recorded in the trail without identification of the source of the offer	RESUORD; FINASESSAO	3.11.4; 3.11.5
T11.2	Operations conducted by 2 or more individuals recorded in the trail with the same identification of the source of the offer	RESUORD; FINASESSAO	3.11.4; 3.11.5
T11.3	Operations recorded through incorrect session	RESUORD; FINASESSAO	3.11.4; 3.11.5
T11.4	Orders recorded in the audit trail using a private IP address, without identification of the order origin	RESUORD; FINASESSAO	3.11.4; 3.11.5
<b>T11.5</b>	<b>Client transactions recorded in the audit trail with the same order origin identification as that of the trader/investment adviser</b>	<b>RESUORD; FINASESSAO</b>	<b>3.11.4; 3.11.5</b>
T2.1	Suitability profiles assigned to clients in disagreement with the scoring rules defined by the Participant	QUESTIONARIO_SUITABILTY; PONTUAÇÃO_SUITABILITY; PERFIL_SUITABILITY	3.2.1; 3.2.2; 3.2.3
T7.1	Related persons identified with a debit balance at the Participant	EXTRATOCC (GAB 800); EXTRATOSP (GAB 807)	3.7.1; 3.7.2
T10.1	Financing for Share Purchases and Loanss used by persons related to the Participant	CMOPER; PEVINC	3.10.2; 3.9.9
T10.2	Financing for Share Purchases and Loanss used by clients who did not opt for the product	CMOPER; CMADESAO	3.10.2; 3.10.1
<b>T20.1</b>	<b>Account holders with no risk classification assigned and active in B3's registration system, and account holders registered in B3's registration system but not identified in the database extracted from the Participant's registration system.</b>	<b>COMPBALCDADCAD/BALCDADCAD; BALCMAXICAD</b>	<b>4.1.3/4.1.1; 4.1.2</b>

Test Code	Test Resume	Files Used	Layout
T20.2	Account holders active in B3's registration system who were not identified as PEPs by the Participant	COMPBALCDADCAD/BALCDADCAD; BALCMAXICAD	4.1.3/4.1.1; 4.1.2
T20.3	Account holders who traded using outdated registration records, according to the date of the last registration update carried out with the Participant, whether due to expiry or request (ABR)	COMPBALCDADCAD/BALCDADCAD; BALCMAXICAD	4.1.3/4.1.1; 4.1.2
T20.4	Account holders with no risk classification included in the database provided by the Participant	COMPBALCDADCAD/BALCDADCAD; BALCMAXICAD	4.1.3/4.1.1; 4.1.2
T20.5	Transactions carried out by persons prohibited and/or barred by the CVM, as disclosed on the regulator's website	COMPBALCDADCAD/BALCDADCAD CAD	4.1.3/4.1.1
T20.6	Number of investors reported in the layout who were not found in SINCAD	COMPBALCDADCAD	4.1.3
T20.7	Investors registered in SINCAD but not reported in the layout	COMPBALCDADCAD	4.1.3
T20.8	Inconsistent reconciliations between the mandatory information submitted through the layout and the information in B3's registration system	COMPBALCDADCAD	4.1.3
T20.9	Information contained in the Participant's database that is not recorded in B3's registration system	COMPBALCDADCAD	4.1.3
T20.10	Mandatory information required under Annex B to CVM Resolution No. 50/2021 not submitted in the layout	COMPBALCDADCAD	4.1.3
T20.11	Mandatory data not reported by the Participant in the ATTORNEY layout	COMPBALCDADCAD; BALCPROCURADOR	4.1.3; 4.1.4
T20.12	Mandatory data not reported by the Participant in the CONTROLLING SHAREHOLDER DATA layout	COMPBALCDADCAD; BALCDADOSCONTROLADOR	4.1.3; 4.1.5
T20.13	Mandatory data not reported by the Participant in the DIRECTOR/OFFICER layout	COMPBALCDADCAD; BALADMINISTRADOR	4.1.3; 4.1.6
T20.14	Mandatory data not reported by the Participant in the PARENT COMPANY layout	COMPBALCDADCAD; BALCONTROLADORA	4.1.3; 4.1.7
T20.15	Mandatory data not reported by the Participant in the CONTROLLED ENTITY layout	COMPBALCDADCAD; BALCENTIDADECONTROLADA	4.1.3; 4.1.8
T20.16	Mandatory data not reported by the Participant in the AFFILIATE layout	COMPBALCDADCAD; BALCCOLIGADA	4.1.3; 4.1.9
T20.17	Mandatory data not reported by the Participant in the INR DATA layout	COMPBALCDADCAD; BALCDADOSINR	4.1.3; 4.1.10

Test Code	Test Resume	Files Used	Layout
T20.18	Investment advisers registered as account holder order placers	BALCEMISSORAUT; BALCAINAOEXC	4.1.12; 4.6.1
T20.19	Transactions carried out by related persons without identification of the final account holder	BALCPEVING	4.1.11
T20.20	INR investors with access registration	COMPBALCDADCAD	4.1.3
T20.21	Investors with a risk profile unsuitable for the access registration	COMPBALCDADCAD; BALCTRLHA_SUITABILITY	4.1.3; 4.5.4
T20.22	Investors exceeding the maximum portfolio permitted for the access registration	COMPBALCDADCAD	4.1.3
T21.1	Conclusions of AML/CTF alert reviews completed beyond the period established by the Participant	BALCREGISTRO_ALERTASPLD	4.2.1
T21.2	Communications to COAF of identified AML/CTF discrepancies made after more than 24 hours	BALCREGISTRO_ALERTASPLD	4.2.1
T22.1	Conclusions of Trading and Order Supervision alert reviews completed beyond the period established by the Participant	BALCREGISTRO_ALERTASSO	4.3.1
T22.2	Communications to the regulator and self-regulatory organization of identified Trading and Order Supervision discrepancies made after more than 5 business days	BALCREGISTRO_ALERTASSO	4.3.1
T23.1	Suitability profiles assigned to the account holder that are inconsistent with the scoring rules defined by the Participant	BALCQUESTIONARIO_SUITABILITY; BALCPONTUACAO_SUITABILITY; BALCPERFIL_SUITABILITY	4.5.1; 4.5.2; 4.5.3
T23.2	New account holders who did not complete the questionnaire and do not have a Suitability risk profile	COMPBALCDADCAD, BALCTRLHA_SUITABILITY e BALCQUESTIONARIO_SUITABILITY	4.1.3; 4.5.4; 4.5.1
T23.3	New account holders who did not complete the questionnaire and are not classified in the category with the lowest risk tolerance	COMPBALCDADCAD, BALCTRLHA_SUITABILITY e BALCQUESTIONARIO_SUITABILITY	4.1.3; 4.5.4; 4.5.1
T24.1	Communications to the account holder regarding the status of custody transfers/portability made at intervals exceeding 2 business days	BALCTRANSFCUST	4.4.1
T24.2	Custody transfer/portability carried out by the Participant in more than 2 business days without prior communication to the account holder	BALCTRANSFCUST	4.4.1
T24.3	Custody transfers/portability cancelled by the Participant prematurely and/or improperly	BALCTRANSFCUST	4.4.1

Test Code	Test Resume	Files Used	Layout
T24.4	Custody transfers/portability rejected by the Participant prematurely and/or improperly	BALCTRANSCUST	4.4.1
T24.5	B3 Investor Area – portability carried out in more than 2 business days	BALCTRANSCUST	4.4.1

**Appendix III – List of tests performed by layouts whose analysis, by BSM, will not be integrated into the MC<sup>2</sup>D reporting system**

Test Code	Test Resume	Files Used	Layout
T8.1	Related persons informed in the layout not registered in SINCAD	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.2	Investment advisors not identified in the PEVINC layout submitted by the Participant	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.3	Related persons that operated through another institution	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.4	Trades executed by related persons who operated through another institution	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.5	Investment advisors who operated through another institution	PEVINC; AINAOEXC	3.9.9; 3.8.1
T8.6	Trades executed by investment advisors who operated through another institution	PEVINC; AINAOEXC	3.9.9; 3.8.1
T4.1000	Risk reclassification	ALTPERFIL	3.4.2
T10.3	Identified Divergences: inappropriate use of assets as collateral in margin account procedures	CMFINGAR	3.10.3
T7.1000	Operation monitoring	EXTRATOCCB (GAB107); EXTRATOCCF (GAB119); AICLI	3.7.3; 3.7.4; 3.8.2
T16.1000	Fraud prevention monitoring and registration	PREVFRAUDE	3.16.1
T17.1000	Monitoring of indications of regulatory breaches by Investment Advisers	INFRAAI	3.8.3

## 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 revision	11/13/2023
2.1	<p>Main changes:</p> <ul style="list-style-type: none"> <li>• 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/CTF), (ii) Supervision of Operations and Orders (SOO); and (iii) Risk Management;</li> <li>• Scope of the file layout related to the Summary Trail of Orders;</li> <li>• Processes applicable to the Listed Participants by type of access to the organized markets administered by B3;</li> <li>• Descriptions, mandatory nature, and review of the layout fields; and</li> <li>• Procedure for the advanced testing of layout formatting.</li> </ul>	Second revision of the Manual	04/30/2024
2.2	<p>Main changes:</p> <ul style="list-style-type: none"> <li>• Description of the new tests to be performed with existing layouts: (i) Suitability - adequacy of the investment profile for Participants offering RLP to their clients; (ii) Related Person - conciliation of information of linked persons with SINCAD; (iii) Related Person - execution of transactions by related persons without identification of the final client in the offers transmitted to the trading system or re-specification of transactions by related persons; (iv) Related Person - operations of persons prohibited by the CVM as available on the regulator's website; (v) Orders Trails - Analysis of the correct use of trading sessions; and (vii) Orders Trails - avaliação da origem das ofertas.</li> <li>• Descriptions, mandatory elements and revision of the layout fields;</li> <li>• Appendix detailing the following: (i) the processes applicable to Listed Market Participants by type of access to the organized markets administered by B3; (ii) the layout delivery schedule in 2024; and (iii) the tests to be performed by layouts.</li> </ul>	Third revision of the Manual	10/10/2024
2.3	<p>Main changes</p> <ul style="list-style-type: none"> <li>• Descriptions, mandatory elements and revision of the layout fields.</li> <li>• Storage of Test Results for regular auditing.</li> </ul>	Fourth revision of the Manual	12/26/2024

Version	Modified Item	Reason	Date
2.4	<ul style="list-style-type: none"> <li>• Descriptions, requirements, and review of the fields in the layouts.</li> <li>• Additional information for filling out the AINAOEXC layout.</li> <li>• Inclusion of a field for client identification in the Access Registration.</li> <li>• New status in the ORDERS and RESUORD layouts.</li> <li>• Details of the new systems included in the USERS layout.</li> <li>• New layout in the Custody Management process to inform the number of portability requests (RCVM210).</li> </ul>	Fifth revision of the Manual	03/10/2025
3	<p style="text-align: center;">Main changes</p> <ul style="list-style-type: none"> <li>• Inclusion of registration layouts for Over-The-Counter segment.</li> <li>• Inclusion of new layouts in Listed segment (AML and Fraud Prevention Mechanisms)</li> <li>• Review of descriptions, mandatory requirements, scope and layout fields.</li> <li>• Additional information for completing the DADCAD layout (according to OC16/2025)</li> <li>• Inclusion of new statuses in TRANSFCUST, ACIONAMENTOGE and ENVIOMTE layouts.</li> <li>• Inclusion of new fields in TRANSFCUST, AICLI, DADCAD and RESUORD layouts.</li> <li>• Update in the frequency of ACIONAMENTOGE, ENVIOMTE, MARGEM, GAB107 or EXTRATOCB, GAB119 or EXTRATOCF, AICLI and CMFINGAR layouts.</li> </ul>	Sixth revision of the Manual	12/05/2025
	<ul style="list-style-type: none"> <li>• Inclusion of the layouts applicable to the OTC segment, covering the following processes: <ul style="list-style-type: none"> <li>• Registration</li> <li>• AML/CTF</li> <li>• Trading Supervision</li> <li>• Custody Administration</li> <li>• Suitability</li> <li>• Investment Adviser</li> <li>• Trade Settlement</li> </ul> </li> <li>• Inclusion of a new layout for the submission of records of communications regarding indications of breaches by Investment Advisers (INFRAAI), applicable to the listed segment.</li> <li>• Inclusion of the "blocking date" field in layout 3.10.1 – CMADESAO.</li> <li>• Adjustment to the identification and reporting method for NRI clients in layout 3.9.1 – DADCAD.</li> <li>• Adjustment to the description of the critical transaction ID "ADM1" in layout 3.14.2 – USUARIOS.</li> <li>• Change in the submission frequency of layout 3.4.2 – ALTPERFIL to quarterly, in order to align it with the frequency of layout 3.9.1 – DADCAD.</li> </ul>	Seventh revision of the Manual	04/15/2026

Version	Modified Item	Reason	Date
	Review and standardization of the layout field descriptions.		