

# BUSINESS CONTINUITY POLICY

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## 1 PURPOSE

This Policy establishes guidelines and responsibilities to be observed in B3's Business Continuity Management System with the aim of minimizing the financial, operational, legal and regulatory impacts deriving from unavailability of the human, material and technological resources essential to the regular functioning of the Company's operations.

## 2 SCOPE

This Policy applies to all officers, employees, interns and others who work for B3 S.A. – Brasil, Bolsa, Balcão and its subsidiaries and affiliates in Brazil and abroad (Company).

## 3 REFERENCES

- ABNT Standard NBR ISO 22.301:2012 – Business Continuity Management System: Requirements
- ABNT Standard NBR ISO 22.301:2012 – Business Continuity Management System: Guidance
- B3's Corporate Risk Management Policy
- B3's Operational Risk Rule

## 4 CONCEPTS

- Business Impact Analysis (BIA): analysis of business processes identifying the qualitative and quantitative impacts of process interruptions, and providing an executive overview of the Company's mission-critical processes.
- Business Continuity Management (BCM): an overarching management process responsible for providing a structure that enables the Company to develop organizational resilience and to respond to unforeseen events, safeguarding the interests of all parties and the Company's reputation and image.

- Business Managers: managing directors, associate directors and managers responsible for mission-critical business processes or functions.
- Recovery Objectives: requirements for recovery of a mission-critical process or function, depending on the impact caused by its interruption.
- Business Continuity Plan: a set of structured documents listing the activities required for the recovery of a mission-critical process, to reduce the impacts caused by an interruption, and to assure an adequate level of communication during the recovery process.
- Business Continuity Management System (SGCN): a set of management and governance processes, which the Company's top management supports by allocating the resources required to identify risks, maintain recovery strategies and plans, and guarantee continuity of the Company's business activities.

## 5 GUIDELINES

B3's Business Continuity Management System shall provide for mechanisms to:

- Identify the internal and external threats that may impair the continuity of the Company's operations;
- Identify the possible impact on operations if these threats materialize;
- Identify all legal, regulatory and other requirements relating to business continuity;
- Establish roles and responsibilities for parties internal and external to the Company;
- Develop a crisis management and response structure supported by adequate levels of authority and competence so as to assure effective communication with stakeholders;
- Develop processes and mechanisms to assure the recovery of business activities in the event of an interruption;

- Conduct training sessions, tests and analysis that assure the maintenance and proper functioning of all continuity plans.

## **6 RESPONSIBILITIES**

### **6.1 Board of Directors**

- Approves the business continuity plan for the Company and its subsidiaries and affiliates, observing the roles and responsibilities defined in this Policy;
- Approves the Business Continuity Policy and its revisions.

### **6.2 Executive Board**

- Analyzes the Business Policy and its revisions and submit it to the Board of Directors for approval.

### **6.3 Corporate Risk Internal Committee**

- Approves the allocation and planning financial, human and tech resources;
- Approves the Rules regarding the matter;
- Assesses changes to the Business Continuity Plan and submits them for assessment by the Executive Board;
- Approves the Recovery Targets resulting from the Impact Analysis on Business;
- Approves, based on the suggestion presented by the Business Continuity area, the annual timetable of business continuity tests;
- Monitors and assesses the results of the Business Continuity tests.

### **6.4 Auditing Department**

- Oversees testing of the Business Continuity Plans;
- Drafts and issues reports on the tests performed.

## 6.5 Internal Controls, Compliance & Corporate Risk Department

- Defines the methodology and tools to be used by the Business Continuity Management System;
- Consolidates the results of Business Continuity Plan testing and exercises in regular reports submitted to the Corporate Risk Internal Committee;
- Proposes projects and initiatives to improve the Business Continuity Management System in accordance with best practice.

## 6.6 Business Managers

- Assure active participation by their teams in the drafting and testing of Business Continuity Plans;
- Perform Business Impact Analysis for the processes under their responsibility;
- Draft and maintain Business Continuity Plans on the basis of the Business Impact Analysis performed.

## 6.7 Other Staff

- Comply with the provisions of all business continuity documents;
- Seek guidance from Business Continuity if they have questions about the Business Continuity Policy, Business Continuity Rules and Business Continuity Plans;
- Participate actively in testing and planning processes whenever called upon to do so.

## 7 FINAL PROVISIONS

The above provisions apply for the entire Company immediately upon publication of this policy.

Validity: As of July 26, 2019.

1st draft: March 16, 2010.

### Areas responsible for this document:

| Responsible for | Area  |
|-----------------|---|
| Drafting        | Business Continuity Division                            |
| Revision        | Governance & Integrated Management Department           |
| Approval        | Corporate Risk Internal Committee<br>Board of Directors |

### Change log:

| Version | Changed Item   | Date           |
|---------|--|----------------|
| 01      | First draft  | Mar,16, 2010   |
| 02      | Scope included, area nomenclature updated, normative structure and policy application revised, definitions added (Business Impact Analysis, Recovery Objectives).  | Jun. 30, 2011  |
| 03      | Item 3 – Description of PCO, PGC and PCLT adjusted;<br>Item 4 –CCN composition and meeting frequency adjusted;<br>responsibility attributed to area’s responsible Officer.   | Apr. 4, 2013   |
| 04      | Alignment with corporate policy template: references included, concepts substituted for terms and definitions, guidelines and responsibilities specified in detail.  | Aug. 15, 2014  |
| 05      | Inclusion of guideline for crisis management in the corporate scope;<br>Transfer of details of items in the Business Continuity Management System (SGCN) to the Business Continuity Rule;<br>Update of the Concepts item;<br>Update of the responsibility of the Board of Directors. | Apr. 30, 2015  |
| 06      | Adjustment to Company’s new name B3 S.A. – Brasil, Bolsa, Balcão   | May 12, 2017   |
| 07      | Corporate restructuring of B3.   | Aug. 11, 2017  |
| 08      | Corporate restructuring of B3;<br>Adjustment to improve the composition of B3’s committees;  | July 26, 2019. |

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|  | Update of the attributions of the Board of Directors and the Corporate Risk Internal Committee;<br>Inclusion of attributes for the Executive Board. |  |
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