

# INFORMATION TECHNOLOGY POLICY

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## 1 PURPOSE

The purpose of this policy is to set guidelines for selecting, adopting, using and operating the information technology resources needed to meet the demands of regulators and internal and external customers, as well as the requirements of the strategies and business objectives of B3 S.A. – Brasil, Bolsa, Balcão, and to monitor and maintain its operating environments.

## 2 SCOPE

This policy applies to all employees, interns and service providers of B3 and its subsidiaries and affiliates in Brazil and abroad.

## 3 REFERENCES

- Information Security Policy.
- COBIT (Control Objectives for Information and Related Technologies).
- ITIL (Information Technology Infrastructure Library).
- ISO 27000 (information security standards).
- PMBOK® (Project Management Body of Knowledge).

## 4 GENERAL RULES

In technical project planning, and in operational and strategic activities, considering best practice and the efficient and secure use of information technology (IT), the Office of the Chief Information Officer will follow the guidelines set out below.

### 4.1 Alignment with the requirements of customers

- a) Understand customer and market requirements, regulatory specifications, and product and service specifications, so as to offer the most suitable technological solutions to meet such requirements.
- b) Keep up to date with trends in technological innovation and the offerings of the leading providers of software, hardware and IT services in order

to meet the needs of internal and external customers, and to proactively offer technological solutions that improve operations, create business opportunities or mitigate corporate and operational risks.

- c) Take the necessary action to guarantee the availability of IT services in compliance with service level agreements (SLAs) entered into with internal and external customers, and to assure the stability of the National Financial System.

## 4.2 IT service quality

- a) Ensure that the projects, services and maintenance executed by IT teams are validated in accordance with the standards set for each of these teams before being implemented in the company's operating environment.
- b) Constantly monitor and evaluate indicators and metrics for the company's IT systems, environments and services to identify potential improvements and risk mitigation solutions for the company and its internal and external customers, and for the stability of the National Financial System.

## 4.3 Technological services and solutions provided by third parties

The Office of the Chief Information Officer manages the process of accreditation and selection for the following:

### Computer equipment

Office automation, data centers, communication, imaging and printing networks, and any other equipment that requires connection with the company's computer network.

<p><b>Computer systems</b></p>	<p>Information systems, smartphone apps, software, and equipment developed or acquired by the company for internal and external use.</p>
<p><b>Technology providers</b></p>	<p>IT solutions and services accessed by dedicated link or internet connection, including cloud services delivered as SaaS (Software as a Service), IaaS (Infrastructure as a Service), PaaS (Platform as a Service), and any similar offering.</p>
<p><b>Services and consulting</b></p>	<p>Specialized providers of IT-related services.</p>

Management of the technical relationship between the company and organizations that match one or more of the above descriptions will be the responsibility of the IT teams that report to the Chief Information Officer, although business areas that require and functionally collaborate with technical solutions may interact with such organizations.

#### 4.4 Organization of IT requests

IT development and infrastructure requests submitted to IT areas must follow these steps:

- a) Formal establishment with IT in accordance with the approval flows defined in specific rules for each IT area;
- b) Classification and execution of each project for the development of new products and maintenance of existing projects based on the methodologies and tools defined by the IT area in accordance with established rules and procedures;

- c) Planning of processing capacity in order to permit appropriate sizing of the infrastructure required to guarantee successful computational performance and systems execution, and to promote business continuity, reduce incidents, and avoid degradation in the performance of the services provided by B3;
- d) Management of IT projects and processes considering the best technological solutions and architectural practices suited to the needs of the business.

## 5 RESPONSIBILITIES

### 5.1 Chief Information Officer

- Define IT guidelines aligned with the company's strategic objectives, assuring their dissemination to staff, interns and service providers, and guaranteeing compliance with them by all concerned.
- Define the organizational structure for the managing directors who report to the CIO, and their responsibilities and tasks.

### 5.2 Managing directors of IT

- Ensure that staff are familiar with this policy and that their practices comply with it.
- Report any infringements of this policy to the Chief Information Officer and take remedial action to mitigate any risks identified without delay.
- Report any infringements of this policy to the Department of Internal Controls, Compliance & Corporate Risk.

### 5.3 Other staff, interns and service providers

- Comply with the provisions of IT documents.

- Report any non-compliance detected in the technological environment via the company's whistleblowing and complaint channels.

## 6 FINAL PROVISIONS

The above provisions apply to the entire company immediately upon publication of this Policy.

## 7 CONTROL INFORMATION

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**Areas responsible for this document:**

Responsible for:	Area
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