

Code:	SMIN-PL-008-Data Protection and Privacy Policy
Revision No.:	00
Date of approval:	11-Jun-2022
Frequency of the revision:	Biannual
Classification:	Public

## GENERAL PERSONAL DATA PROTECTION AND PRIVACY POLICY

### 1. Purpose

This General Personal Data Protection and Privacy Policy ("Policy") is intended to govern the guidelines applicable to the privacy and protection of personal data to which Samarco has access, as a way of setting the foundation for the Privacy Program of SAMARCO MINERAÇÃO S.A. ("Samarco" or "Company"), in accordance with the General Data Protection Act.

Briefly, this Policy aims at demonstrating Samarco's commitment to:

- Protect the rights of Samarco Employees and Collaborators;
- Adopt processes and rules that ensure comprehensive compliance with standards and good practices relating to the protection of personal data;
- Promote transparency as to how the Company handles personal data; and
- Protect the Company, as well as its Employees and Collaborators, from risks due to security incidents involving personal data.

This policy applies to all Samarco Employees and Collaborators, as well as third parties, service providers, suppliers and any other persons who have access to personal data through Samarco.

If there is a conflict between the provisions of this Policy and the applicable data protection legislation, the legislation shall prevail.

### 2. Concepts

- *National Data Protection Authority ("ANPD")*: The government agency responsible for regulating, inspecting and applying administrative penalties related to the protection of personal data.
- *Legal Basis*: hypotheses that authorize the processing of personal data listed in articles 7 and 11 of the General Data Protection Act.
- *Personal Data*: Information related to a directly or indirectly identified or identifiable natural person. Data used to build the behavioral profile of a particular natural person are also considered personal data, such as name, identification number, location data, electronic identifiers, or one or more specific elements of physical, physiological, genetic, mental, economic, cultural or social identity of that individual, for instance: name, CPF (Tax Identification Number), marital status, address, telephone number, email.

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- **Sensitive Personal Data:** Special category of personal data that refers to racial or ethnic origin, religious belief, political opinion, affiliation to a union or organization of a religious, philosophical or political nature, data relating to health or sexual life, genetic or biometric data, when linked to a natural person.
- **Data Protection Officer (“Supervisor”):** Person appointed by Samarco to act as a communication channel between Samarco, the data subjects, and the National Data Protection Authority. In addition, this person coordinates and oversees the Privacy Program and may can be contacted to clarify doubts related to data protection.
- **General Data Protection Act (“LGPD”):** Name given to Federal Law No. 13.709/2018, which provides for the processing of personal data in digital or physical means, carried out by a natural person or a legal entity.
- **Processing:** Any and all operation with personal data, including collection, receipt, classification, use, access, reproduction, transmission, distribution, processing, archiving, storage, elimination, evaluation or control of information, change, update, communication, transfer, sharing and extraction of personal data.
- **Collaborators:** Suppliers, Contractors, Partners, Representatives of Samarco, Customers and Business Partners, in Brazil and abroad.

### 3. Basic Program Guidelines

Through this policy, Samarco undertakes to process personal data in accordance with the cases of legal bases and other requirements of the General Data Protection Act (Law No. 13.709/18).

Among its various activities, Samarco uses the processing of personal data to ensure:

- The health and safety of its employees and collaborators.
- Compliance with legal obligations and execution of agreements.
- Monitoring of labor and social security documentation of employees and contractors.
- Management of access to the corporate network and work platforms.
- Innovation and development processes.
- Relationship with communities, public bodies, related parties and unions.

Samarco will process all personal data respecting the specific purposes defined by its data processing operations, in order to maintain the privacy of this information as an essential aspect of assuring alignment with its values and objectives. Thus,

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Samarco seeks to protect the interests of the business, its employees and other stakeholders involved in the company.

Therefore, the following guidelines are established:

- Samarco's Personal Data Processing operations must follow the ten (10) basic principles laid down by the LGPD in its Article 6, as they help to identify the suitable compliance of the activities with the standard provided for by law. Namely:
  - Good Faith: all treatment operations must be based on good intentions, and prevailing system of moral principles.
  - Purpose and suitability: the processing of personal data must be limited to legitimate, specific, explicit and informed purposes to the Data Owner, and must only take place in ways compatible with these purposes. Personal data cannot be collected/obtained for one purpose and then used for another. All uses of data must be compatible with the original reason for their collection/obtention.
  - Need: the collection and use of personal data must be limited to the minimum necessary to fulfill the intended purposes and divulged to the Data Owner, also ensuring that such information is stored for the shortest time possible/necessary.
  - Free access and quality of data: Data Owner shall be assured of easy and free reference as to the form and duration of the processing and completeness of their personal data, ensuring accuracy, clarity, relevance and update thereof.
  - Transparency: persons in question shall be assured of clear, accurate and easily accessible information on the processing and the respective agents, observing commercial and industrial secrets.
  - Security and prevention: the security and confidentiality of personal data must be guaranteed through technical and organizational measures, as outlined below in *Item 4. Responsibilities*, in order to prevent the occurrence of security incidents involving personal data.
  - Non-discrimination: personal data processing activities can never be aimed at discriminatory, illegal or abusive purposes.
  - Accountability: all records of all personal data processing activities must be stored, and the respective measures taken to adapt such activities to the rules relating to privacy and protection of personal data, proving the effectiveness and efficiency thereof.

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- For every personal data processing operation, Samarco must consider the cases provided for by the legal bases described in the LGPD.
- The sharing of personal data of the Data Owner between Samarco's managements is allowed, provided that its purpose and legal basis are complied with, observing the need-to-know principle. Furthermore, the processing of personal data must always be linked to the development of activities authorized by Samarco.
- Samarco must have an updated and complete record of all Personal Data Processing activities, containing at least the following information:
  - i. Description of the information flow at each stage of its life cycle (collection, storage, use, sharing – and in this case, the purpose of transfer – and disposal);
  - ii. Legal basis for Processing;
  - iii. Types of Personal Data collected;
  - iv. Purpose for which the data is processed;
  - v. Logical location (cloud, server, laptop, etc.) and geographic location where data is processed;
  - vi. Data retention period;
  - vii. Business or support area responsible for Personal Data; and
  - viii. Approximate volume of existing records.

#### 4. Responsibilities

It is of utmost importance that all Samarco Employees and Collaborators observe the provisions contained in this Policy, so that it can produce the desired effects, taking into account that any acts may have repercussions for the Company as a whole, producing effects of unpredictable magnitude, as, for instance, in the case of data leakage.

Samarco has a Data Protection Supervisor, responsible for ensuring compliance with the laws and other data protection and privacy rules applicable to its business, which requires independence from the rest of management, to allow it to ensure the rights of data owners whose personal information is processed by the Company.

The Supervisor is the person who can help the personal data owners to clarify their doubts regarding the treatment of their data. His/her duties should not include activities or responsibilities that may conflict with the Company's accountability towards the personal data owners.

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The following points must be observed by all, without prejudice to the other aspects addressed in this Policy:

- Employees and Collaborators who are going to carry out any activity for the processing of personal data have as a primary duty to ensure the integrity, availability and confidentiality of the Personal Data processed in the performance of their function, promoting its application in any action or business that involves Samarco's interests.
- Thus, Samarco Employees and Collaborators cannot provide or guarantee access to personal data held by Samarco to any unauthorized persons, in accordance with internal regulations.
- Each Operation for the Processing of Personal Data must necessarily comply with the proposed purposes, not allowing incompatible, excessive processing or for different purposes. If it is necessary to assign another purpose for the processing of personal data, there must be express authorization from the Supervisor, or prior receipt of the Data Owner's Consent, in case this is the applicable Legal Basis.
- The Employee and/or Collaborator must assure the use of the minimum amount of information necessary for the fulfillment of the intended purposes and proper performance of their functions.
- The Personal Data processed in the performance of the function must necessarily be stored in a safe place and officially approved by Samarco, whether in a physical or digital repository. Unauthorized storage in private environments is prohibited (for example: notebooks or computer desktop, memory sticks, external hard drive, personal email, or other remote devices).
- The operation of sharing Personal Data with Partners must be based on a contract, or other legal instrument with a personal data protection clause. In turn, Samarco's internal areas may only share, in whole or in part, personal data bases with the knowledge and prior approval of the Supervisor.
- Information on the Processing of Personal Data must be disclosed through Privacy Notices, or other means that provide the necessary transparency to the Data Owner. It is not allowed to process Personal Data for purposes that are not compatible with those informed to the Data Subjects.

According to the LGPD, Samarco will be administratively and civilly liable for pecuniary, moral, individual or collective damages arising from violations of personal data protection legislation. However, the law provides for the possibility for the company to charge others responsible for the

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processing of data, to the extent of their participation in the harmful event, through the right of recourse. Thus, the agents in the chain involving the processing of personal data can be held responsible for any damage caused.

In this regard, any violation or non-compliance with the provisions of this Policy shall subject those responsible, accordingly, to disciplinary measures established by the Company, which may lead to the termination of the employment relationship with Samarco, and applicable penalties based on the applicable legislation.

In addition to all the necessary basic recommendations described in this document, it should be noted that the Samarco's Personal Data Processing Supervisor shall be available to assist all Samarco Employees and Collaborators, and shall also:

- Accept requests and communications from the Data Owner, provide clarifications and take measures;
- Receive communications from the government agency and take actions;
- Instruct Samarco employees and contractors about the practices to be adopted in relation to the protection of personal data;
- Perform other assignments determined by the controller or established in complementary rules.

## 5. Final Considerations

In case of doubts related to data protection or privacy or to situations in which Samarco Employees or Collaborators have identified or suspected a violation of the rules and practices described in this Policy, please contact our Supervisor through the email address [privacidade@samarco.com](mailto:privacidade@samarco.com).

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## 6. Revision control table

Revision	Page	Date	Reason for Revision	Need for Training?
00	All	11-Jun-2021	Approval of the first version of the policy	Yes

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