

BUSINESS CONTINUITY AND CRISIS MANAGEMENT POLICY

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1 PURPOSE

To set out guidelines and responsibilities to be included in the B3 Business Continuity Management System with the aim of minimizing financial, operational, legal and regulatory impacts deriving from the unavailability of human, material and technological resources that are essential to the regular functioning of B3's operations.

2 SCOPE

This Policy applies to all administrators, employees and interns of B3 S.A. – Brasil, Bolsa, Balcão, as well as B3 Bank, BSM Market Supervision, Cetip Info Tecnologia S.A., B3 Social, and other associations abroad controlled by B3 S.A.¹.

3 REFERENCES

- Brazilian Association of Technical Standards (ABNT) Standard NBR ISO 22.301:2020 – Business Continuity Management Systems: Requirements;
- ABNT Standard NBR ISO 22.313:2020 – Business Continuity Management Systems: Instructions; and
- Corporate Risk Management Policy.

4 CONCEPTS

- Business Impact Analysis (BIA): Review of business processes which identify the qualitative and quantitative impacts of interruptions on those processes, providing an executive overview of the Company's so-called critical processes;
- Business Continuity Management (BCM): An overarching management process responsible for providing a structure that enables the Company to develop organizational resilience and respond to unforeseen events, safeguarding the interests of all stakeholders and the Company's

¹ For associations abroad, this Policy's guidelines with regard to crisis management will only be applicable when such associations are members of the Crisis Management Team ("EGC"). For business continuity issues, the guidelines provided herein will only apply when such associations' employees act as members of the Key Persons Team ("EPC").

reputation and brand;

- Business Manager: Managing directors, associate directors, managers, or coordinators responsible for critical business processes or functions;
- Recovery Objectives: Requirements for recovery of a critical process or function, depending on the impact caused by the interruption;
- Business Continuity Plans (BCPs): A set of structured documents listing the activities required for the recovery of a critical process, in order to reduce the impacts caused by an interruption and assure an adequate level of communication during the recovery process; and
- Business Continuity Management System (BCMS): 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 respond to crisis so as to guarantee continuity of the Company's business.

5 GUIDELINES

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

- Identify internal and external threats that may hinder the continuity of the Company's operations;
- Identify potential impacts on operations if such threats materialize;
- Identify the requirements relating to business continuity, including legal and regulatory requirements;
- Define roles and responsibilities for internal and external parties to the Company;
- Develop a crisis management and response framework, supported by adequate levels of authority and competence so as to assure effective communication with stakeholders;

- Develop processes and mechanisms to enable the recovery of business activities in the event of an interruption; and
- Conduct tests and analyses that ensure the maintenance and proper functioning of all the continuity plans.

6 RESPONSIBILITIES

6.1 Board of Directors

- Approves the Company's Business Continuity Plan in line with the roles and responsibilities defined herein.

6.2 Executive Board

- Analyzes the Business Continuity and Crisis Management Policy and its reviews, and submits it to the Board of Directors for approval.

6.3 Corporate Risk Internal Committee

- Approves the planning and allocation of financial, human and technological resources needed for the adoption of business continuity strategies defined by B3;
- Approves the Rules regarding the matter;
- Assesses changes to the Business Continuity and Crisis Management Policy, and submits them to the Executive Board for review;
- Approves the Recovery Objectives resulting from the Business Impact Analysis;
- Approves the classification map of critical events to respond to crises; and
- Approves the annual timetable of business continuity simulations and tests and assesses the outcomes.

6.4 Audit Department

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

6.5 Governance, Integrated Management and Cyber Security Area

- Defines the methodology, standards and tools to be utilized by the Business Continuity Management System;
- Consolidates the results of Business Continuity Plan tests and exercises in regular reports, and submits them to the Corporate Risk Internal Committee;
- Proposes projects and initiatives to improve the Business Continuity Management System in line with existing best practices; and
- Assumes the role of Crisis Coordinator, being a focal point between the Crisis Management Team, the Working Group and members of the Executive Board.

6.6 Business Manager

- Approves the continuity strategy and establishes the criteria for reviewing the impact of its processes;
- Assures active participation of the teams under his or her management in the drafting and testing of Business Continuity Plans and crisis response situations
- Appoints suppliers, service providers and partners who have direct responsibility for the supply of products and services that ensure the continuity of the critical process;
- Performs a Business Impact Analysis for the processes under his or her responsibility; and

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- Drafts and maintains Business Continuity Plans based on the Business Risk and Impact Analysis performed.

6.7 Other Staff Members

- Comply with the provisions set forth in all business continuity documents;
- Seek guidance from the Business Continuity Management area when questions arise about the Business Continuity and Crisis Response Policy, Rules and Plans; and
- Actively participate in testing and planning processes, whenever called upon to do so.

7 FINAL PROVISIONS

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

8 CHANGE LOG

Validity: As of December 8, 2023.

1st draft: March 16, 2010.

Areas responsible for this document:

| Responsible for | Area |
|-----------------|--|
| Drafting | Business Continuity |
| Revision | Governance, Integrated Management and Cyber Security Department Legal Department Corporate Governance and Nomination Committee |
| Approval | Corporate Risk Internal Committee Board of Directors |

Updates:

| Version | Changed section | Reason | Date |
|---------|-----------------|--------|----------------|
| 01 | First draft | NA | March 16, 2010 |

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| 02 | Miscellaneous | Inclusion of Scope, update of area nomenclature, revision of normative structure and policy application, inclusion of definitions | June 30, 2011 |
| 03 | Section 3 Section 4 | Adjustment to description of Business Continuity Plan, Crisis Management Plan and Workplace Contingency Plan Adjustment to Business Continuity Committee composition and meeting frequency, and attribution of responsibilities to the area's Managing Director | April 4, 2013 |
| 04 | Miscellaneous | Alignment with new Policy template: References included; Replacement of words and definitions with concepts; Guidelines and Responsibilities specified in detail | August 15, 2014 |
| 05 | Miscellaneous | Inclusion of guideline for crisis management at corporate level Transfer of certain details in the Business Continuity Management System to the Business Continuity Rule Update of Concepts Update of Board of Directors' responsibilities | April 30, 2015 |
| 06 | Miscellaneous | Adjustment to Company's new name: B3 S.A. – Brasil, Bolsa, Balcão | May 12, 2017 |
| 07 | Miscellaneous | Adjustment to B3's organizational structure | August 11, 2017 |
| 08 | Miscellaneous | Adjustment to B3's organizational structure Adjustment to align the composition of B3's committees Update of the Board of Directors and Corporate Risk Internal Committee assignments Inclusion of Executive Board assignments | July 26, 2019 |
| 09 | Miscellaneous | Adjustment to Policy's name Mandatory update of Scope Inclusion of Governance and Integrated Management Department's responsibilities | August 17, 2020 |
| 10 | Scope References Responsibilities | Adjustment to applicability under Scope Adjustment to date of reference rules Assignment of Business Managers' responsibilities Assignment of the Board of Director's responsibilities Adjustment to concept definitions and to guidelines | July 1, 2022 |

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| 11 | Responsibilities | Adjustment to responsibilities related to the critical event classification map and the annual planning of business continuity simulations and tests to harmonize with the responsibilities provided for in the Regulations of the Internal Advisory Committees to the Executive Board | December, 8, 2023 |
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