SOCIO-ENVIRONMENTAL RESPONSIBILITY AND GOVERNANCE POLICY
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1 PURPOSE

The purpose of the Socio-Environmental Responsibility and Governance Policy (Policy) is to set out principles and guidelines and express corporate practices that drive B3's socio-environmental and climate change activities, as well as its level of susceptibility to risks related to those themes, thus reaffirming the relevance of sustainability for the Company's strategy, culture, business and stakeholder relations.

The Company seeks to be aligned with the best sustainability and corporate governance practices, relying on a socio-environmental management structure at different levels of the organization and striving for transparency in the availability of information.

Furthermore, the Company is aware of its transformative role and inducement potential as it seeks to promote market engagement, develop and make available products and services with environmental, social and governance characteristics. In addition, it actively participates in Brazilian and international initiatives that promote agendas related to social and environmental responsibility among asset managers and financial players, stock exchanges and business communities.

Among such initiatives, one can highlight the Company's commitment to and alignment with the Sustainable Development Goals (SDGs) and the UN Global Compact initiatives.

2 SCOPE

This Policy applies to all executive officers, employees, interns, trainees, suppliers, service providers and partners of B3 S.A. – Brasil, Bolsa, Balcão (B3), its subsidiaries and affiliates abroad, Banco B3 S.A. (B3 Bank), BSM, Cetip Info Tecnologia S.A. (Cetip Info), B3 Social, and other associations (Company).
3 REFERENCES

The Socio-Environmental Responsibility and Governance Policy correlates with the Company’s following corporate documents:

- Code of Conduct and Ethics.
- Code of Conduct for Suppliers, Service Providers and Partners.
- Anti-Corruption and Fraud Prevention Policy.
- Corporate Risk Management Policy.
- HR and Compensation Policy.
- Information Technology Policy.
- Personal Data Protection Governance Policy.
- Anti-Money Laundering and Counter Terrorism Financing Policy.

4 GUIDELINES

Ethics and Integrity. The Company has a range of measures in place to prevent, identify and combat practices such as corruption and fraud, money laundering, terrorist financing and combating the financing of the proliferation of weapons of mass destruction by setting out guidelines, rules of behavior and corporate policies.

Corporate Governance and Transparency. Policies and procedures in line with the highest governance standards based on responsible and transparent action and with robust controls are critical for a company's growth.

For this reason, the Company seeks to ensure up-to-date governance practices that are in line with new market requirements, such as the drafting and public disclosure of the Company’s environmental, social and governance performance, as well as corporate policies and adequate internal procedures.
Socio-Environmental Risk. Driven by the Company’s strategic objectives, corporate risk management – which may include social and environmental risks and those related to climate change – is carried out in an integrated manner, based on the tolerance and appetite established by the senior management. The principles, guidelines and responsibilities to be observed in the corporate risk management process to enable their proper identification, assessment, treatment, monitoring and communication are covered in the Company’s and its subsidiaries’ Corporate Risk Management Policy.

The Company understands that the socio-environmental risk assessment of its products and services, including prior analysis under this bias for new products and services, must be continuous and updated in accordance with current laws and regulations, so as to enable the adoption of preventive or mitigating measures for social and environmental risks related to its activities.

ESG (Environmental, Social and Governance) Products and Services. The Company acts as a market infrastructure and understands the role it plays in driving better social and environmental practices. It seeks to fulfill this role by offering products and services that support the sustainable development of the market and its clients.

In this context, the Company is dedicated to continually strengthening its portfolio of ESG indices and OTC products, while identifying new business opportunities and developing products and services that drive the environmental, social and governance agenda in the Brazilian market, attract investors and encourage companies to incorporate this agenda in their management.

Corporate social responsibility. The Company is aware of its social role and has a structure in place to integrate and coordinate private social investment projects and mobilize executive officers, employees and interns in corporate volunteer actions, as provided for in the Volunteering Rule through B3 Social.
The Company seeks to strengthen civil society organizations with a focus on Brazilian public education and on the contribution to reducing inequalities in Brazil. It also seeks to engage B3’s executive officers, employees and interns in volunteer work and social campaigns.

**Financial Education.** The Company strongly believes how important financial education is for the country’s development and for solid and consistent growth in the financial and capital system.

Therefore, it seeks to promote quality knowledge for investors, market professionals and society as a whole by stimulating the creation of content and making it available to partners, clients and academia, besides creating copyrighted materials on financial education and financial and capital markets.

**People Management.** The Company believes in the potential of individuals and in the strength of relationships and experiences to build a collaborative and innovative work environment, always complying with Brazilian and international practices, laws and rules, which include respect for free union association and the right to collective bargaining.

Therefore, it is dedicated to attracting and retaining talent while seeking to encourage the personal development and quality of life of its executive officers, employees and interns, offering a safe environment with opportunities for growth, including the search for continuous improvement in health and workplace safety, with a preventive approach to hazards and risks.

**Diversity and Inclusion.** The Company is committed to promoting a diverse, accessible and inclusive environment, where people can be authentic and have enough space and safety for dialogue. It strives to strengthen diversity, inclusion and equal opportunity agendas through a clear strategy on the topic by monitoring indicators, setting goals, implementing recruitment programs and developing specific and minority audiences, holding discussion forums and training programs on key themes. Furthermore, it provides discussion groups on five fronts: gender, race and ethnicity, LGBTQIA+, people with disabilities, and generations.
Climate Change and Natural Resources Management. Given the nature of its activities, the Company is an organization with low environmental impact which recognizes that it must conduct its activities responsibly and that it is capable of influencing other organizations to face climate change and manage their business sustainably.

Therefore, it seeks to comply with applicable laws and regulations, prevent and minimize environmental impacts and implement management, mitigation and result transparency initiatives by preparing the inventory and neutralizing its greenhouse gas emissions, participating in surveys and thematic indices recognized by the market and implementing eco-efficiency mechanisms in water and electricity consumption, waste management and continuous improvement of its operation. The Company also seeks to encourage the market to adopt good environmental practices through the availability of products that aim to contribute to a low-carbon economy.

Supply chain. The Company acts for the responsible management of its supply chain by encouraging the adoption of good sustainability practices and considering social and environmental criteria in the approval of its suppliers, in accordance with the Company’s Code of Conduct for Suppliers, Service Providers and Partners.

Information Security. Operational credibility is a value that guides the Company’s security and privacy policy and seeks to protect the organization's information, clients and the general public. Information is a valuable asset of extreme importance to the Company and is critical for the success of its business. It thus deserves adequate protection through security and privacy routines and procedures based on the best information security practices and compliance with applicable laws and rules.

Stakeholder Relations. The Company understands that the relationship with its various stakeholders and with local communities through sustained consultations and structured dialogues – which include communication channels for demands to be properly managed and responded to – contributes to the improvement of
management, innovation, creation of value and conduct of the business.

Therefore, the Company seeks to promote Human Rights, be accountable, strengthen responsible, trustworthy and mutually beneficial relationships, engage stakeholders in matters of environmental, social and governance relevance, and contribute internally and externally to the dissemination and consolidation of sustainable practices, while monitoring the effectiveness of actions in place.

**Periodic Policy Review.** This Policy will be revised in a minimum period of two (2) years, or in a shorter period, if new legal or regulatory milestones are added or there is a need for new adjustments to its wording.

**Action Plan for the Implementation of the Policy.** The Company will have an Action Plan in place whereby the actions required to adapt the Company’s organizational and operational structure will be established, as well as the routines and procedures to be carried out according to this Policy’s guidelines, following a schedule specified herein.

**5 RESPONSIBILITIES**

**5.1 Internal Sustainability Committee**

- Responsible for providing strategic guidance, approval and supervision of planning and initiatives related to the Company’s environmental, social and governance issues and for monitoring the Socio-Environmental Responsibility and Governance Policy processes.

**5.2 People, Marketing, Communications and Sustainability Area**

- The Area’s role is to ensure the implementation of the Company's strategic guidelines;

- The Area is dedicated to promoting and carrying out this Policy’s guidelines, delivering the sustainability strategy and plans, and periodically reporting on the Company’s social, environmental and governance results.
5.3 Governance and Integrated Management Area

- Responsible for managing and monitoring the Company’s strategic risks accompanied by other governance bodies described in this item.

5.4 B3 Bank Risk Area

- Responsible for replicating this Policy to B3 Bank, a wholly-owned subsidiary of the Company, ensuring the execution, application and implementation of the Policy guidelines in B3 Bank’s sphere, in particular with a view to complying with CMN Resolution No. 4,327/2014. B3 Bank’s Risk Director is appointed as the officer responsible for compliance with this Policy within B3 Bank’s scope.

6 FINAL PROVISIONS

The above provisions are applicable with immediate effect to all of the Company, as of the publication of this Policy.

7 CHANGE LOG

Effective: December 28, 2021

1st draft: April 2013.

Areas responsible for the document:

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<tr>
<td>Drafting</td>
<td>People, Marketing, Communications and Sustainability Area</td>
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<td>Revision</td>
<td>Governance and Integrated Management Area</td>
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<td>Legal Department</td>
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<td>Corporate Governance and Nomination Committee</td>
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<td>Approval</td>
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<td>Board of Directors</td>
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Updates:

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<tr>
<td>1</td>
<td>First draft</td>
<td>N/A</td>
<td>April 2013</td>
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<td>2</td>
<td>Replacement of the name “Committee” with “Work Group”</td>
<td>Layout adjustment and adjustment to the Company’s structure</td>
<td>April 30, 2015</td>
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<td>3</td>
<td>Change of Company’s name throughout the document and formatting to the Company’s standard</td>
<td>Layout adjustment and adjustment to the Company’s structure</td>
<td>August 11, 2017</td>
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<td>4</td>
<td>Change of the Policy name from “Environment Policy” to “Socio-Environmental Responsibility Policy and formatting to the new name.</td>
<td>Content review</td>
<td>July 26, 2019</td>
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<td>5</td>
<td>Replacement of the Communications, Sustainability and B3 Social Department with People, Marketing, Communications and Sustainability Department Exclusion of WorkGroup</td>
<td>Adjustment to the Company’s new governance framework</td>
<td>August 17, 2020</td>
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<td>6</td>
<td>Change of content in line with the Company’s Sustainability Strategy</td>
<td>Content review</td>
<td>December 28, 2021</td>
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