



October 22, 2020
136/2020-VOP

EXTERNAL COMMUNICATION

To: B3's Market Participants – Segment BM&FBOVESPA

Re: **Test of Business Continuity Plan for PUMA Trading System**

B3 informs that the rescheduling for Thursday, **October 29, 2020**, of the validation the test of the Business Continuity Plan for the PUMA Trading System (BCP PUMA), in addition with External Communication 118/2020-VOP, dated September 23, 2020.

We emphasize the maintenance of the other test dates disclosed in External Communication 085/2020-VOP, dated July 21, 2020.

BCP PUMA was developed to make possible a reduction in positions and the risks associated with them using alternative mechanisms for closing and sending trades to post-trading when the PUMA Trading System becomes unavailable in the primary and secondary data processing centers during the trading session and cannot be restored on the same day.

Participation by the brokerage houses that trade in the BM&FBOVESPA Segment **will be mandatory**.

Participants will access BCP PUMA through their internet link, using the address <https://pcopuma.b3.com.br:8197/#/login>, entering the login and password the same used by supervising traders to access to ePUMA and as described in the document PCO PUMA – Participant Guide, available on the B3 Extranet.

1. Timetables for mock trading session

Starts	Ends	Phase
6:30 p.m.	7:00 p.m.	Login to application and sending of cross orders, matched trades, bids and asks.
7:00 p.m.	7:30 p.m.	B3 processes data.

2. Scope of mock trading session

The mock trading session will cover the following:

- Access to <https://pcopuma.b3.com.br:8197/#/login>;
- Inclusion of cross orders, as described in validation script;
- Inclusion of matched trades, as described in validation script;
- Inclusion of bids and asks, as described in validation script;
- Receipt of alert messages;
- Interaction with B3 as counterparty or to facilitate execution of specific mock trading scenario desired by participant; and
- Regular interaction with Trading Platform team by telephone on +55 11 2565-5022/5023/5024 and by email at negociacao@b3.com.br.

The mock trading contingency session will **not** cover:

- Use of post-trade, settlement and risk systems or clearinghouse margin and collateral management systems;
- Production and delivery of BCP PUMA validation test reports and files; and
- Orders entered via PUMA Trading System.

3. Other information

The activities to be performed during the test can be found in the mandatory script.

Participation in the mock trading session must be confirmed no later than **12 noon** on **Wednesday, October 28, 2020**, by sending an email to tradingsupport@b3.com.br with "BCP PUMA test" in the subject line, and a message identifying the institution, naming the individuals who will participate and supplying their contact details (telephone numbers and email addresses).

Further information can be obtained from Electronic Trading by telephones on +55 11 2565-5022, 2565-5023 or 2565-5024 or by e-mail negociacao@b3.com.br or from Trading Support by telephone on +55 11 2565-5021 or by e-mail tradingsupport@b3.com.br.

Cícero Augusto Vieira Neto
Chief Operating Officer



Annex to External Communication 136/2020-VOP

BCP PUMA validation script

Scenarios to be executed during the BCP PUMA validation test. Choose "OK" in the table for successfully executed scenarios and "N/E" (not executed) if an error occurs during validation.

1. Access to site

Activity	Expected result	Status	
Go to page: https://pcopuma.b3.com.br:8197/#/login	Access to application's login page	<input type="checkbox"/> OK	<input type="checkbox"/> N/E
Log in to application using ePUMA supervising trader's code	Access to application's home page	<input type="checkbox"/> OK	<input type="checkbox"/> N/E

2. Authorized securities for BCP-PUMA validation test

BM&F Segment			
INDZ20	DOLZ20	BGIZ20	DOLF21C003250

Bovespa Segment			
PETR4	BOVA11	VALEL700	IBOVL103

3. Entry of cross orders

Activity	Expected result	Status	
Go to <i>Negociação</i> menu, select <i>Negócios Diretos</i>	Access to cross order entry screen	<input type="checkbox"/> OK	<input type="checkbox"/> N/E
Enter cross order for each security listed in item 2, BM&F Segment, with these parameters: <ul style="list-style-type: none">Quantity – 10 lotsPrice – within daily fluctuation limit for contract month	Order entry successful message	<input type="checkbox"/> OK	<input type="checkbox"/> N/E

Activity	Expected result	Status	
<p>Enter cross order for each security listed in item 2, Bovespa Segment, with these parameters:</p> <ul style="list-style-type: none"> • Quantity – 100 lots • Price – limited to 10% above or below price of last trade in regular session or, if this is unavailable, 10% above or below closing price. 	Order entry successful message	<input type="checkbox"/> OK	<input type="checkbox"/> N/E

4. Entry of matched trades

Activity	Expected result	Status	
<p>Go to <i>Negociação</i> menu, select <i>Negócios Casados</i></p>	Access to matched trade entry screen	<input type="checkbox"/> OK	<input type="checkbox"/> N/E
<p>Enter matched trade for each security listed in item 2, BM&F Segment, with parameters shown below and freely designating brokerage house as sell-side counterparty:</p> <ul style="list-style-type: none"> • Quantity – 10 lots • Price – within daily fluctuation limit for contract month 	Order entry successful message	<input type="checkbox"/> OK	<input type="checkbox"/> N/E
<p>Enter matched trade for each security listed in item 2, Bovespa Segment, with parameters shown below and freely designating brokerage house as sell-side counterparty:</p> <ul style="list-style-type: none"> • Quantity – 100 lots • Price – limited to 10% above or below price of last trade in regular session or, if this is unavailable, 10% above or below closing price. 	Order entry successful message	<input type="checkbox"/> OK	<input type="checkbox"/> N/E

5. Entry of bids and asks

Activity	Expected result	Status	
Go to <i>Negociação</i> menu, select <i>Ofertas</i>	Access to order entry screen	<input type="checkbox"/> OK	<input type="checkbox"/> N/E
Select <i>Compra</i> (bid) or <i>Venda</i> (ask) in <i>Tipo</i> field	Correct field completion	<input type="checkbox"/> OK	<input type="checkbox"/> N/E
Enter order of type selected for each security listed in item 2, BM&F Segment, with these parameters: <ul style="list-style-type: none"> • Quantity – 10 lots • Price – price of last trade in regular session or, if this is unavailable, T-1 settlement price 	Order entry successful message	<input type="checkbox"/> OK	<input type="checkbox"/> N/E
Enter order of type selected for each security listed in item 2, Bovespa Segment, with these parameters: <ul style="list-style-type: none"> • Quantity – 100 lots • Price – price of last trade in regular session or, if this is unavailable, closing price 	Order entry successful message	<input type="checkbox"/> OK	<input type="checkbox"/> N/E