

UP2DATA MONTHLY REPORT MANUAL

1 MONTHLY DISTRIBUTION REPORT

DISTRIBUTORS, REDISTRIBUTORS and **MEDIA COMPANIES** must monthly report the number of **CLIENTS** to whom they have transmitted the **UP2DATA'S DATA** to **B3**, as provided for in items 7.3.1.2 (Display with access control), 7.3.1.2 (Non display through revenue share) and 7.3.2.3 (Non Display with transfer of charging) of UP2DATA Commercial Policy.

1.1 CLIENT COUNTING UNIT

The counting unit adopted by B3 aimed at measuring, pricing and sending the **MONTHLY REPORT** is the **END USER'S** or **REDISTRIBUIDOR'S** ID and its respective access point. Accesses carried out in one month by the same login will be counted as one access in that month.

1.2 MONTHLY REPORT FORMAT AND SUBMISSION

The **MONTHLY REPORT** must be submitted to **B3** in CSV (Comma Separated Values) text format or .txt or .zip extensions.

If the **MONTHLY REPORT** is originally generated in Excel format, the file must be saved as .txt before submission so that the field for the Individual (CPF)/Corporate (CNPJ) taxpayer's registry number is not considered invalid.

DISTRIBUTORS, REDISTRIBUTORS and **MEDIA COMPANIES** with access **NON DISPLAY REVENUE SHARE, DISPLAY WITH ACCESS CONTROL** and **NON DISPLAY TRANSFER** must submit the **MONTHLY REPORT** through CSNET system.

Whether your institution do not have access to this system you must contact the e-mail servicecontracting@b3.com.br or +55 11 2565-5080 to be allowed to use CSNET.

1.2.1 MONTHLY REPORT

It is the responsibility of the **DISTRIBUTOR, REDISTRIBUTOR** and **MEDIA COMPANIES** to send files strictly in the format specified in this item.

The **MONTHLY REPORT** must have a header in the first line including the fields filled out as shown in the table below.

Header – Information on the DATA DISTRIBUTOR			
B3 Code of the DATA DISTRIBUTOR	Type: (1) Distributor (2) Redistributor (3) Media company	Period: MM/YYYY	Number of records of the file, excluding the header line

Following the header, the **MONTHLY REPORT** must include information on **END USERS** and **REDISTRIBUTORS** taking into account the items shown in the table below:

Field's name	Description	Type
CLIENT's name	END USER's or REDISTRIBUTOR's name (individual/legal entity)	Text
Individual (CPF) Corporate (CNPJ) taxpayer's registry number	Individual's CPF/ID or legal entity's CNPJ/VAT CODE	Text
Email	CLIENT's email	Text
Country	Country– code for each country available on www.iso.org/iso-3166-country-codes.html	Text
Nationality	Inform the data access place: (1) Local (2) International	Numeric
Channel and distribution category	Inform the data channel accessed by the client: (1) NON DISPLAY REGULATORY (2) NON DISPLAY MARKET CHANNELS (3) NON DISPLAY ECONOMIC INDICATORS (4) NON DISPLAY LAGACY/OLD (5) NON DISPLAY INDEX (6) NON DISPLAY VOLATILITY SURFACE (7) NON DISPLAY CURVES (8) NON DISPLAY CORPORATE ACTION (9) NON DISPLAY DEBENTURES MTM (10) NON DISPLAY ENERGY (11) NON DISPLAY CRI AND CRA (12) NON DISPLAY ANALYTICS BDR (13) DISPLAY WITH ACCESS CONTROL	Numeric
Retroactive adjustments	In the event of retroactive adjustment, inform the period in which the adjustment must be made (MM/YYYY)	Numeric
Indication of transfer	(1) Transfer of payment responsibility. In this space it is mandatory to inform the B3's company code that will pay the invoice.	Numeric

	Whether you do not know the B3's company code contacts the e-mail servicecontracting@b3.com.br or +55 11 2565-5080.	
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It is important to point out that one line in the report is equivalent to one **END USER** and/or one **REDISTRIBUTOR** per channel received (applicable in the case of Non Display with Revenue Share and Non Display with Transfer) and/or one **END USER** accounted for in the Display model with control access as shown in the examples below.

Example 1 - Non Display with Revenue Share

If the **CONTRACTING PARTY** is a **DISTRIBUTOR** of data from regulatory channels, curves and corporate events for its customers in the Non Display model with Revenue Share, it must complete the report as follows:

100;1;05/2015;6
Jose da Silva;123.456.789-12;josedasilva@bvmf.com.br;BR;1;1; ; ;
Jose da Silva;123.456.789-12;josedasilva@bvmf.com.br;BR;1;7; ; ;
Jose da Silva;123.456.789-12;josedasilva@bvmf.com.br;BR;1;8; ; ;
Empresa Silva; 12.345.678/0001-11; empresasilva@empresas.com.br;BR;1;1; ; ;
Empresa Silva; 12.345.678/0001-11; empresasilva@empresas.com.br;BR;1;7; ; ;
Empresa Silva; 12.345.678/0001-11; empresasilva@empresas.com.br;BR;1;8; ; ;

Example 2 - Non Display with Transfer of charging

If the **CONTRACTING PARTY** is a **DISTRIBUTOR** of the indexes and debentures channel for the end customer in the Non Display with Transfer model, in which the **END USER** and/or **REDISTRIBUTORS** must complete the report as follows:

100;1;05/2015;2
Empresa Silva; 12.345.678/0001-11; empresasilva@empresas.com.br;BR;1;5; ; ;123
Empresa Silva; 12.345.678/0001-11; empresasilva@empresas.com.br;BR;1;9; ; ;123

Example 3 - Display with access control

If the **CONTRACTING PARTY** is a **DISTRIBUTOR** of the **UP2DATA** data of the Display model with access control for two **END USERS**, the report must be completed as follows:

100;1;05/2015;2
João da Silva;123.456.789-12;joaodasilva@bvmf.com.br;BR;1;13; ; ;
Carlos Silva;987.654.321-21;carlossilva@bvmf.com.br;BR;1;13; ; ;

Example 4 - Retroactive Adjustment

If you are a **DISTRIBUTOR** and have to retroactively adjust the July report for August, you must complete the report as follows:

100;1;05/2015;2
João da Silva;123.456.789-12;joaodasilva@bvmf.com.br;BR;1;7;1;07/2023;
João da Silva;123.456.789-12;joaodasilva@bvmf.com.br;BR;1;8;1;07/2023;
João da Silva;123.456.789-12;joaodasilva@bvmf.com.br;BR;1;9;1;07/2023;
Carlos Silva;987.654.321-21;carlossilva@bvmf.com.br;BR;1;13;-1;07/2023;

1.3 RETROACTIVE ADJUSTMENTS

The “Retroactive Adjustments” field has been added to enable **DISTRIBUTORS, REDISTRIBUTORS** and **MEDIA COMPANIES** to adjust the number of **CLIENTS** mistakenly informed in previous monthly reports in a period of up to 90 (ninety) days after the submission of said **MONTHLY REPORT**.

To accurately inform the retroactive adjustment in the **MONTHLY REPORT** and duly have it billed, the **DISTRIBUTOR, REDISTRIBUTOR** and **MEDIA COMPANIES** must carry out the procedures below:

- Fill out the **MONTHLY REPORT** with the **CLIENTS'** data.
- In the event it needs to adjust the **MONTHLY REPORT** due to a lack of information on **CLIENTS** or failure to report it, please fill out the month and year in which the access of a certain **CLIENT** was not informed in the “Retroactive Adjustments” field. Accordingly, the number of **CLIENTS** informed in the column “Number” must be positive so that a retroactive collection is carried out.
- In the event it needs to adjust data on a mistakenly reported **CLIENT**, please fill out the month and year in which the additional **CLIENT** was mistakenly reported in the “Retroactive Adjustments” field. Therefore, the number of additional **CLIENTS** informed must be negative, so that the discount related to this **CLIENT** is given.

It's important to mention from the moment B3 informs **DISTRIBUTORS, REDISTRIBUTORS** and **MEDIA COMPANIES** that an audit will be carried out,

in accordance with item 10 of **UP2DATA COMMERCIAL POLICY**, no retroactive adjustments will be able to be made, specifically related to the audited periods.