

May 02, 2024
025/2024-VNC

EXTERNAL COMMUNICATION

Listed B3 Participants

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

We hereby inform you that the PUMA Trading System will undergo business continuity testing on Saturday, **May 11, 2024**, via a mock trading session at its contingency environment, to validate:

- connectivity between the brokerage houses' primary site facilities and B3's backup infrastructure; and
- execution of the mandatory test script at B3's alternative site.

The addresses for connection between B3's backup servers and participants must be properly configured and enabled.

The connectivity tables are available at www.b3.com.br/en_us/, Solutions, Platforms, PUMA Trading System:

- EntryPoint – FIX Order Entry, IP List, Lista de IPs – Produção, Production – Connectivity Details
- EntryPoint – Binary Order Entry, IPS Lists, Binary Order Entry - IP List – Production and DR - SBEOE Gateway v1
- Market Data FIX/FAST, U MDF, U MDF Channels Definition - BOVESPA Segment and BM&F Segment

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- Market Data Binário – Binary UMDF, Definition of channel multicast addresses Binary UMDF

The entire test window is programmed to take place between **1:00 p.m. and 3:00 p.m.** Participation by brokerage houses, market data distributors and independent software vendors operating on Listed B3 **is mandatory**.

Participants will access the environment via connectivity sessions or the trading screens they already use (ePUMA or proprietary solutions).

1. Mock trading session timetable

Starts	Ends	Phase
1:00 p.m.	2:00 p.m.	Roll call and connectivity test in the contingency environment
2:00 p.m.	2:05 p.m.	Pre-opening in the contingency environment
2:05 p.m.	2:40 p.m.	Trading – mandatory script in the contingency environment
2:40 p.m.	3:00 p.m.	Free trading in the contingency environment

2. Scope of mock trading session

The test script for the mock trading session in the contingency environment will cover the following:

- Reception of market data
- Trading (order entry and trade execution) in accordance with the mandatory script
- Free mock trading (order entry and trade execution)
- Order cancellation via admin session
- Validation of trading limits (LiNe 5.0), using the limits in effect at the end of the trading session on **May 10, 2024** (Friday)

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- Management of trading limits (LiNe 5.0)
- Reception of execution messages generated by trading systems
- Reception of order registration, modification and cancellation message drop copies and execution reports
- Use of Firmsoft order cancellation software
- Reception of electronic trading news
- Interaction with B3 as counterparty or to facilitate execution of a specific mock trading scenario desired by participants: and
- Regular interaction with B3 Services - Listed by calling +55 11 2565-5021 or 2565-5022, and emailing tradingsupport@b3.com.br or trading@b3.com.br.

The scope of the mock trading session will **not** cover the following:

- Use of post-trade systems and of clearinghouse settlement, risk and margin/collateral management systems
- UMDF PUMA 2.0 (FIX/FAST) protocol: Feed A and Feed B
- UMDF PUMA 2.0 (Binary) protocol: Feed A and Feed B
- Use of the SINACOR system
- Production and delivery of mock trading session reports and files: and
- Good Till orders entered until **May 10, 2024** (Friday).

3. Interfaces to be tested in mock trading session under contingency

Listed B3

- Order entry and cancellation interfaces certified for:
 - EntryPoint protocol

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- Binary EntryPoint protocol
- Drop Copy: and
- Admin session
- Market data feed interfaces certified for:
 - FIX/FAST UMDF PUMA Conflated protocol
 - FIX/FAST UMDF PUMA Conflated 2.0 protocol: Feed C
 - PUMA Binary UMDF protocol: Feed C
- Trading screens:
 - ePUMA
 - proprietary solutions developed by independent technology providers or participants

4. Morning test of electronic trading system

Because the mock trading session will use B3's contingency addresses and infrastructure, the morning test on **May 13, 2024** (Monday) will be held exceptionally **from 7:00 a.m. to 8:00 a.m.** for **Listed B3** to allow participants to validate the return of their configurations to the infrastructure address at B3's main site.

Participation by all brokerage houses in this morning test is **mandatory**.

5. Other information

The activities to be performed during the test can be found in the script for the mock trading session in the contingency environment. Market data for these instruments will be sent during the mock trading session.

Participation in the mock trading session must be confirmed no later than **12 noon on May 10, 2024** (Friday), by emailing tradingsupport@b3.com.br, with the subject line "Business Continuity Test", identifying the institution, naming the

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individuals who will participate, and supplying their contact details (telephone numbers and email addresses). In response to this confirmation, participants will receive the test script, and must fill it out and send it to the above email addresses.

The sender of the completed script will receive from B3 a declaration of participation, which with the script can be used as evidence in audits that include business continuity.

All participants in the mock trading session must adjust their internal systems so that its results are completely segregated from those of actual trading sessions.

Further information can be obtained from B3 Services – Listed, by calling +55 11 2565-5021/5022, or by emailing tradingsupport@b3.com.br and trading@b3.com.br.

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