



October 14, 2021
101/2021-VNC

EXTERNAL COMMUNICATION

To: Listed B3 Participants

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

The Business Continuity Plan for the PUMA Trading System (BCP PUMA) will be tested on Thursday, **October 28, 2021**, to validate the plan, in accordance with External Communication 016/2021-VOP, dated February 04, 2021.

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 Listed 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.

The effects of this External Communication are backdated to the date of its publication, and B3 expressly validates all acts practiced until the present date.
This free translation is not legally binding. Any questions arising from the text should be clarified by consulting the original in Portuguese. In the event of any discrepancy, the original in Portuguese shall prevail.

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 Support team by telephone on +55 11 2565-5021/5022 and by e-mails tradingsupport@b3.com.br and trading@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.

2. 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 27, 2021**, 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). In response to this confirmation, the participant will receive the mandatory test script with the activities that will be performed during the test.



101/2021-VNC

Further information can be obtained from the Electronic Trading team by telephone on +55 11 2565-5021/5022 or by e-mails tradingsupport@b3.com.br and trading@b3.com.br.

Mario Palhares

Chief Operating Officer – Electronic Trading and CCP