# UP2DATA MONTLY REPORT MANUAL

11/05/2023

# 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:<br>(1) **Distributor**<br>(2) **Redistributor**<br>(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:<br>**(1) Local**<br>**(2) International** | Numeric |
| **Channel and distribution category** | Inform the data channel accessed by the client:<br>**(1) NON DISPLAY REGULATORY**<br>**(2) NON DISPLAY MARKET CHANNELS**<br>**(3) NON DISPLAY ECONOMIC INDICATORS**<br>**(4) NON DISPLAY LAGACY/OLD**<br>**(5) NON DISPLAY INDEX**<br>**(6) NON DISPLAY VOLATILITY SURFACE**<br>**(7) NON DISPLAY CURVES**<br>**(8) NON DISPLAY CORPORATE ACTION**<br>**(9) NON DISPLAY DEBENTURES MTM**<br>**(10)NON DISPLAY ENERGY**<br>**(11)NON DISPLAY CRI AND CRA**<br>**(12)NON DISPLAY ANALYTICS BDR**<br>**(13)DISPLAY WITH ACESS CONTROL** | Numeric |
| **Indication of adjustments** | Inform if the adjustment is positive (**1** to add client) or negative (**-1** to remove client) | 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** | Transfer of payment responsibility. In this space it is mandatory to inform the B3's company code that will pay the invoice.<br>Whether you do not know the B3's company code contacts the e-mail servicecontracting@b3.com.br or +55 11 2565-5080. | Numeric |

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.