

GLOSSARY

Public Data

SUMMARY

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INTRO

This glossary is a document that represents the terms, codes, and definitions applicable to the files from data services called “Cadastro_Instrumentos_Balcao”, provided by B3.

FILE DESCRIPTION

The main objective is to give publicity to the OTC instruments informations.

The following list contains definitions for the file Cadastro_Instrumentos_Balcao.

1 TERMS AND DEFINITIONS

| Coluna | Column (EN) | Description | Column Rules |
|-------------------|------------------|---|---|
| DataReferencia | Report Date | Reference date of the information. | |
| CodigoInstituicao | Corporation Code | This field provides corporation code. | |
| CodigoInstrumento | Ticker Symbol | Ticker that identifies a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock. | |
| ISIN | ISIN | International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organization for Standardization (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country. | |
| Emissor | Corporation Name | Name by which a issuer is known and which is usually used to identify that Entity. | |
| TipInstrumento | Segment Name | Over the counter segment name. This field refers to the type of over the counter asset. | Domain: CDCA PÚBLICA CFF CRA CRI COE DEB LF PÚBLICA LFSC PÚBLICA LFSN PÚBLICA LIG |

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|---------------------|------------------------------------|--|--|
| | | | NC |
| Mercado | Market Name | A Market represents the Second level of market classification in the post trade process. | For OTC instrument this field will return the fixed value "Valores mobiliarios". |
| Incentivada | Benefit Indicator | Indicates whether an instrument is benefited from law 12431 or not. This field refers to the use of the incentive set forth in law 12431 which states that when, for example, the investment resource is used to make infrastructure works that are considered a priority (eg wind farms), the investor has tax exemption. | Domain: True - When it is an instrument benefited by law 12,431. False - When it is not an instrument benefited by the law 12.431. |
| NumeroSerie | Series Identification Code | Sequential instrument identification number. | |
| NumeroEmissao | Issue Number | Each issuer has a numbering, sequential or not, for its emissions. | |
| Indexador | Instrument Remuneration Type | Indicates the asset remuneration type. In some cases the remuneration may occur through a index, not uniform payments (with an undefined frequency) or an asset without remuneration (in case of assets based on a profit sharing) | Domain: Sem remuneração Sem índice No período Pré DI IPCA VCP IBOVESPA VCP IBOVESPA USD VCP USD |
| PercentualIndexador | Interest Parameters Percentage | Provides the interest parameters percentage. | |
| TaxaAdicional | Interest Percentage Rate | Additional interest rate in percentage. | |
| BaseCalculo | Base Interest Rate | Indicates which base will be used for calculation according to the following list. | Domain: 252EXP - Base 252 dias 360EXP - Base 360 dias SEM BASE - Base Linear |
| Vencimento | Expiration Date | Instrument expiration date. | |
| QuantidadeEmitida | IssuedQuantity | Quantity of instruments issued. | |
| PrecoUnitario | IssueUnitPrice | Instrument unit price. | |
| EsforoRestrito | Emission Restricted Work Indicator | Some instruments may also be distributed with restricted efforts, in accordance with CVM Instruction 476/09, subject to simpler rules. In this case, the offer can only be directed to a maximum of 75 qualified investors and subscribed or acquired by a maximum of 50 investors. This field indicates whether it is effort restricted or not | Domain: True - indicates that instrument is a case of restricted effort False - indicates that it is not a constrained instrument. |
| TipoEmissao | Emission Type | Emission Type | Domain: Pública - Public emission Privada - Private emission |

Change Log:

| Version | Item | Description | Purpose | Date |
|---------|------|-------------------------------|----------------------|---------------|
| 1 | - | - | Initial version | October/2019 |
| 2 | 1 | "TipoEmissao" column addition | Resolução 160 da CVM | December/2022 |