



# OPERATIONAL QUALIFICATION PROGRAM (PQO)

DATAWISE Dashboards

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### 1 PRODUCT DESCRIPTION WITHIN THE DATAWISE SERVICE

The DATAWISE product was created by B3 with the aim of helping its clients in strategic decisions consolidating various reliable and/or sensitive data in the form of interactive dashboards (DATAWISE Dashboard) and reports (DATAWISE Reports). It should be noted that as stated in the Commercial Policy, the DATAWISE service does not allow the distribution or redistribution of data.

Each of these modules can be contracted separately as well as their products (individual dashboards and reports), according to the client's intention. Through the interactive panels it's possible analyze the behavior of stocks (BOVESPA), derivatives and stock futures (BMF) and rental of stocks (BTB) with DATAWISE Dashboards. Already in DATAWISE Reports you can analyze trading and post-trade asset data, mainly from the OTC market thought reports with raw data (Data Report) or worked reports (Market Report).

In this manual we will show the Operational Qualification Program dashboard layout, data and filters contained in the DATAWISE Dashboard module.

### 2 PQO RANKING DASHBOARD DESCRIPTION

The Operational Qualification Program (PQO) Dashboard allows trading participants with Qualification Seals to assess their ranking in each PQO Dashboard and find out what their score is in relation to other participants.

The PQO Dashboard is divided into 5 dashboards that enable participants to assess their ranking in previous years, like 2017 and 2018, and monitor views from 2019 onwards.

In the Trade Risk dashboard, you can generate a crossover view with the BSM audit by matching the target to maintain the Seal and/or avoid audits in

subsequent periods. Below the assessment target, there are chances of losing the Seal and being re-audited within a short time (6-month interval). For further details visit [http://www.b3.com.br/pt\\_br/b3/qualificacao-e-governanca/selos-pqo/](http://www.b3.com.br/pt_br/b3/qualificacao-e-governanca/selos-pqo/) or contact your RM.

In the Final Score dashboard, you can assess the participant's ranking in the Qualification Seal and learn how many points difference there is between the next, the previous and first score.

In the Indicators Group dashboard, you can view details of each Seal and the indicators assessed in each one. Also displayed is the score that positively or negatively impacts the ranking. There may be assessments that generate a positive score or, in the case of a breach, a negative score will be generated significantly affecting the participant's position.

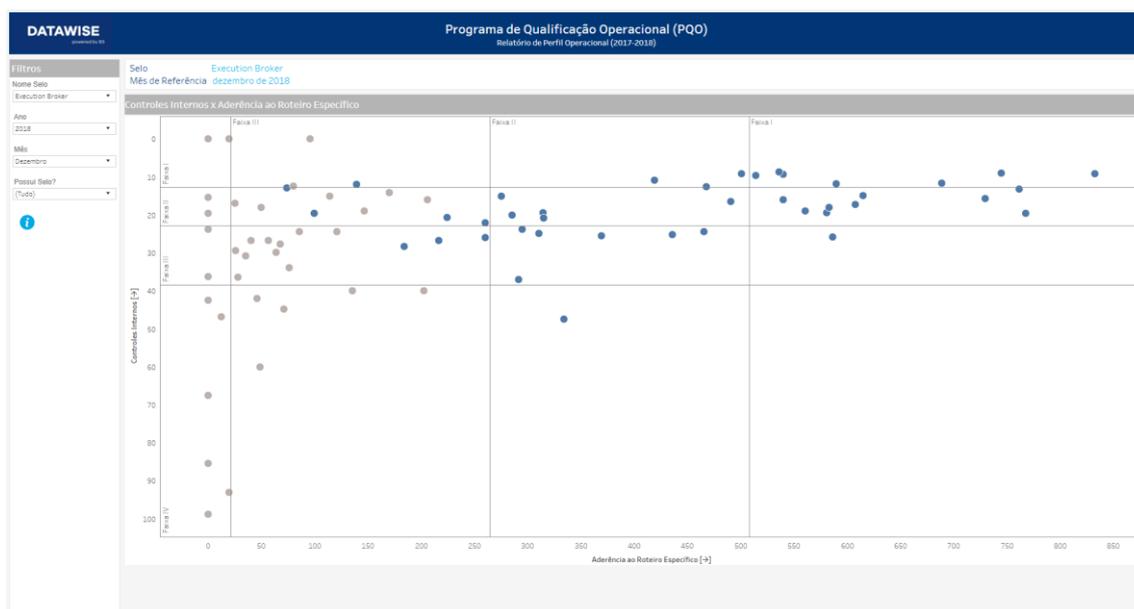
This dashboard unlike all other DATAWISE dashboards has a specific update period. The Seals update is carried out on a monthly basis starting in the second half of the month.

Each Seal is updated by evaluating the Specific Roadmap to it, where each indicator is calculated via a declaratory form and internal calculation made by B3. The internal calculation is carried out by a few B3 areas, especially the Operation and Trading areas.

The BSM update is done annually (or biannually depending on the last audits carried out on the participant), when it is audited through the Basic Audit Roadmap. In this roadmap, technical processes and their level of maturity are evaluated. The BSM assessment does not affect the PQO Seal calculation, assessment or score.

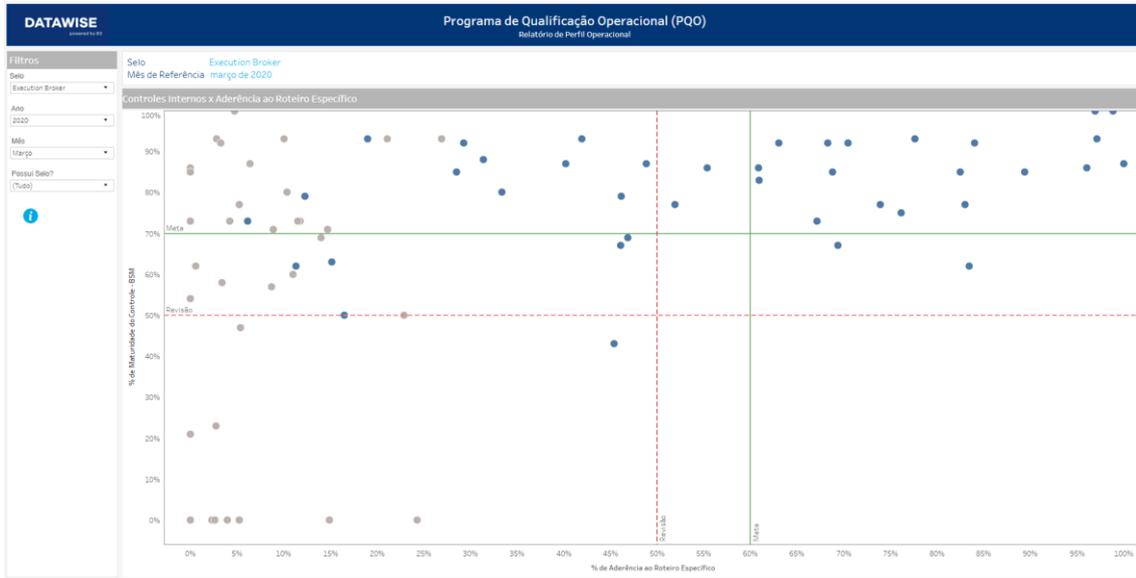
Participants accessing this dashboard will only be able to view open data about themselves and the dashboards are divided into Risk vs. Trade (2017 to 2018), Risk vs. Trade, Final Score (2017 – 2018), Final Score and Indicators Group.

### 3 RISK VS. TRADE DASHBOARD



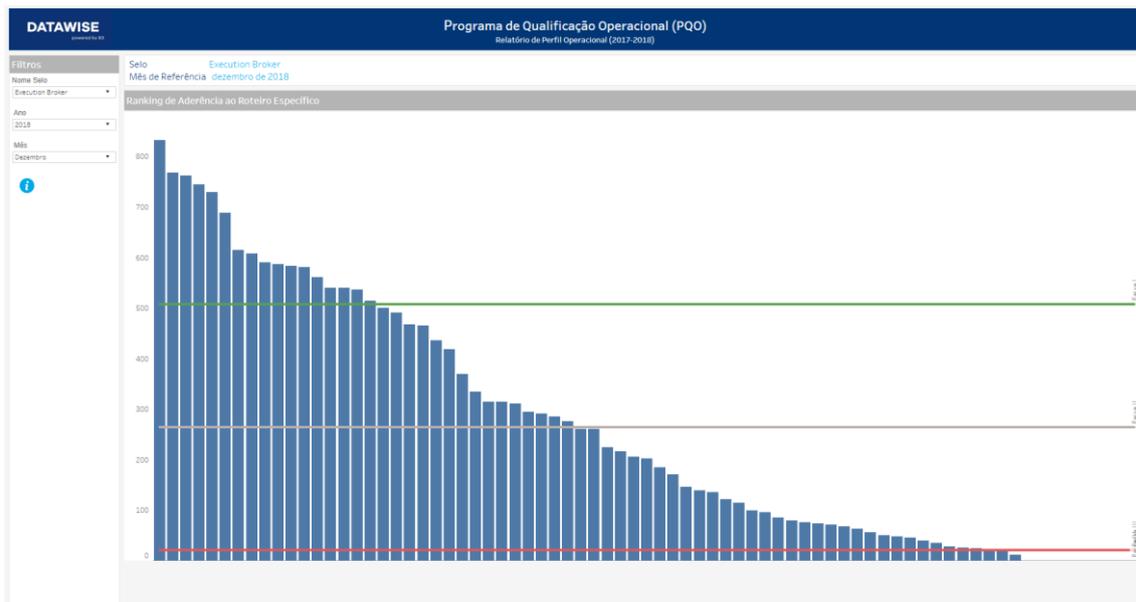
You can assess the participant's score from previous years and monitor views from 2019 onwards.

### 4 RISK VS. TRADE DASHBOARD



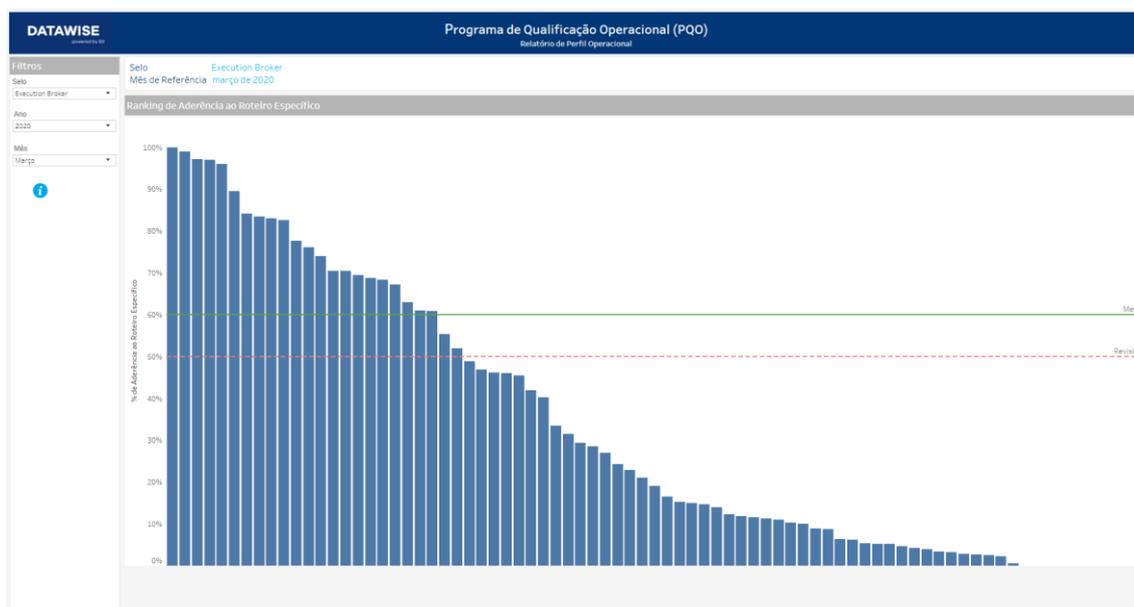
You can check out the operational profile overview and cross it over with the BSM audit by matching the target to maintain the Seal and/or avoid audits in subsequent periods.

### 5 FINAL SCORE DASHBOARD



The Specific Roadmap Adherence Ranking allows the analysis of the house score per Seal benchmarked against previous years (2017 and 2018).

## 6 FINAL SCORE DASHBOARD



This dashboard provides the assessment of the client's score within the Seal benchmarked against the years 2019 onwards.

## 7 INDICATORS GROUP DASHBOARD



This dashboard brings the participants' scores and assessment. It also presents in detail the 5 dashboards: Agro Broker, Carrying Broker, Execution Broker, Non-Resident Investor Broker and Retail Broker.

### 8 FILTERS

#### 8.1 Seal

Selo 

Execution Broker 

You can choose which PQO Seal will be analyzed. The available seals are: Execution Broker, Agro Broker, Carrying Broker, Non-Resident Investor Broker and Retail Broker. For further details about the Seals visit <http://www.b3.com.br/pt-br/b3/qualificacao-e-governanca/selos-pqo/>

#### 8.2 Year

Ano

2020 

These are the years with PQO assessment. For 2017 and 2018, the dashboards with the respective years will have this filter selection. For the following years, it starts from 2019.

#### 8.3 Month

Mês 

Fevereiro 

The 12 months of the year are available for selection. Please note that the PQO update is from the second half of the following month. For example, if it's May 17 you'll be able to see April's assessment. If the date is before that, like May 4, it will be in the last assessment for the month of March.

### 8.4 Do you have a Seal?

Possui Selo? 

(Tudo) 

Available in the Trade Risk dashboard, this filter allows the exclusion of institutions that do not have a Seal in the dashboard's assessment. Participants with a Seal will be marked with a blue dot and those who don't have a Seal will be marked with a gray dot. The institution also has reference colors – red when they have a Seal and light blue when they don't.

### 8.5 Group (Modify when changing the Seal)

Grupo  
(Alterar ao mudar de Selo)

1.1 - Estrutura e Capacidad... 

Available in the Indicators Group dashboard, this filter allows you to analyze each indicator in the Seals roadmap. The only aspect you should focus on is to change the Group when the Seal is changed. For example, Retail Broker will have indicators from 2.I to 2.X. When a participant does not have a Seal, it will not be marked (orange color) in the ranking.

## 9 SERVICE TEAMS

Take a major step and optimize your decision making with our products. If you have any questions, please contact our team.

### *Any query? Talk to us*

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