

SOCIAL, ENVIRONMENTAL AND CLIMATE RESPONSIBILITY POLICY

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1 PURPOSE

The purpose of the Social, Environmental and Climate Responsibility Policy (Policy) is to set out principles and guidelines and express corporate practices that drive the Company's social, environmental and climate activities in a proportional manner to the nature of its operations and activities, and adjusted to the extent and exposure of risks related to those themes, thus reaffirming the relevance of sustainability for the Company's strategy, culture, business and stakeholder relations.

The Company seeks to be in line with the best sustainability and corporate governance practices, relying on a social, environmental and climate management structure at different levels of the organization and valuing transparency in the availability of information.

Furthermore, the Company is aware of its transformative role and growth inducement potential as it seeks to promote market engagement, develop and make available products and services with environmental, social and governance characteristics. It also actively participates in Brazilian and international initiatives that promote agendas related to social, environmental and climate responsibility among fund managers and financial players, stock exchanges and business communities.

Among such initiatives, one can highlight the Company's commitment to and alignment with the Sustainable Stock Exchange Initiative, Women's Empowerment Principles, Sustainable Development Goals (SDGs) and the UN Global Compact initiatives.

2 SCOPE

This Policy applies to all executive officers, employees, interns, trainees, suppliers, service providers and partners of B3 S.A. – Brasil, Bolsa, Balcão (B3), its subsidiaries and affiliates abroad, Banco B3 S.A. (B3 Bank), BSM, Cetip Info Tecnologia S.A. (Cetip Info), B3 Social, and other associations (Company).

3 REFERENCES

The Socio-Environmental Responsibility and Governance Policy correlates with the Company's following corporate documents:

- Code of Conduct and Ethics.
- Code of Conduct for Suppliers, Service Providers and Partners.
- Anti-Corruption and Fraud Prevention Policy.
- Corporate Risk Management Policy.
- HR and Compensation Policy.
- Information Technology Policy.
- Personal Data Protection Governance Policy.
- Anti-Money Laundering and Counter Terrorism Financing Policy.

4 CONCEPTS

This Policy adopts the following concepts to the terms and expressions used herein:

4.1 Stakeholders are customers, product and service users, managers, employees, interns, suppliers and relevant service providers who may be impacted by the Company's activities.

4.2 Social Risk is the possibility of losses occurring to the Company caused by events associated with the violation of fundamental rights and guarantees or acts harmful to the common interest.

4.3 Environmental Risk is the possibility of losses occurring to the Company caused by events associated with the degradation of the environment, including overuse of natural resources.

4.4 Climate Risk is divided into its transition risk and physical risk aspects, which deal, respectively, with the possibility of losses for the Company due to events associated with the transition to a low-carbon economy, whereby the emission of greenhouse gases is reduced or offset and the natural mechanisms for capturing those gases are preserved, and due to events associated with frequent and severe weather or long-term environmental changes that may be related to changes in climate patterns.

5 GUIDELINES

5.1 Ethics and Integrity

The Company has a range of measures in place to prevent, identify and combat practices such as corruption and fraud, money laundering, terrorist financing and combating the financing of the proliferation of weapons of mass destruction by setting out guidelines, rules of behavior and corporate policies.

5.2 Corporate Governance and Transparency

The Company seeks to ensure up-to-date Corporate Governance practices that are in line with new market requirements, such as the drafting and public disclosure of its environmental, social, climate and governance performance, as well as corporate governance regulations and adequate internal procedures. Furthermore, the Company has a Corporate Governance and Nomination Committee (CGI) reporting directly to the Board of Directors (BD) and with its own bylaws aimed at best governance practices, and an Internal Sustainability Committee which, among other duties, is the body responsible for providing strategic guidance on sustainability issues within the Company.

5.3 Social, Environmental and Climate Risk Management

Driven by the Company's strategic objectives, corporate risk management –

which may include social, environmental and climate risks and those related to climate change – is carried out in an integrated manner, based on the tolerance and appetite established by the senior management. The principles, guidelines and responsibilities to be observed in the corporate risk management process to enable their proper identification, assessment, treatment, monitoring and communication are covered in the B3's Corporate Risk Management Policy.

The Company understands that the social, environmental and climate risk assessment of its products and services, including prior analysis under this bias for new products and services, must be continuous and updated in accordance with current laws and regulations, so as to enable the adoption of preventive or mitigating measures for risks related to its activities.

5.4 ESG (Environmental, Social and Governance) Products and Services

The Company acts as a market infrastructure and understands the role it plays in driving better social, environmental and climate practices. It seeks to fulfill this role by offering products and services that support the sustainable development of the market and its clients.

In this context, the Company is dedicated to continually strengthening its portfolio of ESG indices and OTC products, while identifying new business opportunities and developing products and services that drive the environmental, social and governance agenda in the Brazilian market, attract investors and encourage companies to incorporate this agenda in their management.

5.5 Corporate Social Responsibility

The Company is aware of its social role and has a structure in place to integrate and coordinate private social investment projects and mobilize its employees and corporate volunteer actions through B3 Social.

The Company seeks to strengthen civil society organizations with a focus on Brazilian public education and on the contribution to reducing inequalities in Brazil. It also seeks to engage those organizations' executive officers, employees and interns in volunteer work and social campaigns.

5.6 Financial Education

The Company strongly believes how important financial education is for the country's development and for solid and consistent growth in the financial and capital system.

Therefore, it seeks to promote quality knowledge for investors, market professionals and society as a whole by stimulating the creation of content and making it available to partners, clients and academia, besides creating copyrighted materials on financial education and financial and capital markets.

5.7 People Management

The Company believes in the potential of individuals and in the strength of relationships and experiences to build a collaborative and innovative work environment, always complying with Brazilian and international practices, laws and rules, which include respect for free union association and the right to collective bargaining.

Therefore, it is dedicated to attracting and retaining talent while seeking to encourage the personal development and quality of life of its executive officers, employees and interns, offering a safe environment with opportunities for growth, including the search for continuous improvement in health and workplace safety with a preventive approach to hazards and risks.

5.8 Diversity, Fairness and Inclusion

The Company is committed to promoting a diverse, accessible and inclusive environment, where people can be authentic and have enough space and safety for dialogue. We strive to strengthen diversity, fairness and inclusion agendas through a clear strategy by monitoring indicators, setting goals, implementing recruitment programs and developing minority audiences. We also encourage the holding of discussion forums on key topics to expand knowledge on subjects, development actions and internal literacy so that there is less bias and more inclusion. These actions are also addressed through debate groups on five fronts: gender, race and ethnicity, LGBT+, people with disabilities and generations.

5.9 Natural Resources Management

Given the nature of its activities, the Company is an organization with low environmental impact which recognizes that it must conduct its activities responsibly and that it is capable of influencing other organizations to face climate change and manage their business sustainably.

Therefore, the Company seeks to comply with the applicable laws and regulations, prevent, mitigate and minimize possible environmental impacts directly or indirectly arising from its activities, and implement management, preservation and repair initiatives for the environment, including its recovery whenever possible, by adopting the best result transparency practices and implementing mechanisms for water and electricity consumption eco-efficiency, waste management and continuous improvement of its operations.

5.10 Climate Change

The Company recognizes, in a proportional manner to the nature of its operations and activities, and in an adequate manner to the extent and exposure of climate risks, its role in facing climate change and in the transition to a low-carbon economy.

Therefore, it prepares an inventory and neutralizes its greenhouse gas emissions, participates in questionnaires and themed indices recognized by the market, and seeks to stimulate the market to adopt good practices related to the theme by providing products aimed at contributing with a low-carbon economy.

5.11 Supply Chain

The Company acts for the responsible management of its supply chain by encouraging the adoption of good sustainability practices and considering social, environmental and climate criteria in the approval of its suppliers, in accordance with the Company's Code of Conduct for Suppliers, Service Providers and Partners.

5.12 Information Security

Operational credibility is a value that guides the Company's security and privacy policy and seeks to protect the organization's information, clients and the general public. Information is a valuable asset of extreme importance to the Company and is critical for the success of its business. It thus deserves adequate protection through security and privacy routines and procedures based on the best information security practices and compliance with applicable laws and rules.

5.13 Stakeholders Relations

B3 understands that the relationship with its various stakeholders and with local communities through sustained consultations and structured dialogues – which include communication channels for demands to be properly managed and responded to – contributes to the improvement of management, innovation, creation of value and conduct of the business.

Therefore, the Company seeks to promote Human Rights, be accountable, strengthen responsible, trustworthy and mutually beneficial relationships, engage stakeholders in matters of environmental, social and governance relevance, and contribute internally and externally to the dissemination and consolidation of sustainable practices, while monitoring the effectiveness of actions in place.

5.14 Periodic Policy Review

This Policy will be revised with a minimum period of two (2) years, or in a shorter period of time, if new legal or regulatory milestones are added or there is a need for new adjustments to its wording arising from events deemed relevant by the Company.

5.15 Action Plan for the Implementation of the Policy

The Company will have an Action Plan in place whereby the actions required to adapt the Company's organizational and operational structure will be established, the basic criteria for evaluation of the actions, as well as the routines and procedures to be carried out according to this Policy's guidelines following a schedule specified herein.

6 RESPONSIBILITIES

6.1 Internal Sustainability Committee

- Responsible for providing strategic guidance, approval and supervision of planning and initiatives related to the Company's environmental, social, climate and governance issues and for monitoring the Social, Environmental and Climate Responsibility Policy processes.

6.2 People, Marketing, Communications, Sustainability and Social Investment Area

- Ensures the implementation of the Company's strategic guidelines.
- Responsible for promoting and carrying out this Policy's guidelines, delivering the sustainability strategy and plans, monitoring, assessing and periodically reporting on B3's social, climate change and governance results.

6.3 Governance and Integrated Management Area

- Responsible for managing and monitoring the Company's strategic risks accompanied by other governance bodies described in this item.

6.4 B3 Bank Risk Area

- Responsible for replicating this Policy to B3 Bank, ensuring the execution, application, insertion, monitoring, assessment, enhancement and disclosure of the guidelines and actions aimed at the effectiveness of the Policy within B3 Bank's sphere, in particular with a view to complying with the applicable regulation. B3 Bank's Risk Director is appointed as the officer responsible for compliance with this Policy within B3 Bank's scope.

7 FINAL PROVISIONS

The above provisions are applicable with immediate effect to all of the Company as of the publication of this Policy.

8 CHANGE LOG

Effective: December 01, 2022.

1st draft: April 2013.

Areas responsible for the document:

Responsible for	Area
Drafting	People, Marketing, Communications, Sustainability and Social Investment Area
Revision	Governance and Integrated Management Area Legal Department Corporate Governance and Nomination Committee
Approval	Executive Board Board of Directors

Updates:

Version	Changed section	Reason	Date
1	First draft	N/A	April 2013
2	Replacement of the name "Committee" with "Work Group"	Layout adjustment and adjustment to the Company's structure	April 30, 2015
3	Change of Company's name throughout the document and formatting to the Company's standard	Layout adjustment and adjustment to the Company's structure	August 11, 2017
4	Change of the Policy name from "Environment Policy" to "Socio-Environmental Responsibility Policy" and formatting to the new name. Update of the Department's name from Media, Sustainability, Communications and Social Investment to Communications,	Content review	July 26, 2019

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	Sustainability and B3 Social Department		
5	Replacement of the Communications, Sustainability and B3 Social Department with People, Marketing, Communications and Sustainability Department Exclusion of Work Group	Adjustment to the Company's new governance framework	August 17, 2020
6	Change of content in line with the Company's Sustainability Strategy	Content review	December 13, 2021
7	Change of the Policy name from "Socio-Environmental and Governance Responsibility Policy" to "Social, Environmental and Climate Responsibility Policy", besides the addition of the Concepts item and adjustments to the content of the Guidelines item	Content review	December 01, 2022