

OPERATIONAL GUIDE

Registration of Derivatives
Contracted Abroad (DCE)



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1. Introduction

This Operational Guide sets out, in technical and detailed terms, the procedures for registering Derivatives Contracted Abroad ("DCE") in the registration environment administered by Balcão Agrícola do Brasil ("BAB"), with the purpose of guiding Registration Participants ("PR") in the proper execution of the entire process.

DCE registration is intended to provide transparency and traceability to transactions and, where applicable, to meet regulatory and tax requirements related to the registration of such transactions on exchange or organized over-the-counter markets.

In this context, BAB acts exclusively as the administrator of the organized over-the-counter market for DCE registration and is not a counterparty to the transactions, nor does it perform any role in the settlement of such transactions.

This document is operational and non-regulatory in nature and covers operational workflows, business rules, validation criteria, and the data structure required for the proper registration of DCE. Accordingly, reading this document does not exempt BAB Participants involved in the DCE registration process from the obligation to read, understand, and comply with the provisions of the Regulations, Manuals, and other documents published by BAB on this subject.

2. Participants and Responsibilities

DCE registration requests must be submitted to BAB through Registration Participants, engaged by one or both parties to the transaction (considered clients of the Registration Participant), and duly authorized and qualified in accordance with the applicable regulation and BAB rules in force.

In addition to the obligations applicable to all BAB authorized participants, the Registration Participant (PR) shall:

- assume full responsibility for the legality, regularity, accuracy, and integrity of the information relating to the parties and the transaction;
- verify the legality and existence of the transaction abroad;
- ensure the correct classification of the transaction according to the applicable registration method;



- ensure that the transaction falls within the categories set forth in BAB rules and in this Guide, including, where applicable, the indication that it is subject to a market price adherence assessment;
- keep registration data internally updated and carry out Anti-Money Laundering and Counter-Terrorist Financing (AML/CFT) procedures for the parties whose transactions it registers; and
- retain records of each and every DCE registration request to which it is linked for a minimum period of 5 (five) years.

BAB, in turn, is responsible for receiving, validating, processing, and registering DCE, as well as, where applicable, carrying out a technical assessment of adherence to market conditions in accordance with the methodologies adopted.

DCE registration with BAB does not, under any circumstances, involve physical or financial settlement procedures, monitoring or updating by BAB of the amounts involved in the transaction, or calculation of Daily Settlement Adjustments for such contracts. The accuracy of the data entered, as well as compliance with the regulations in force, is entirely the responsibility of the PR.

3. Operational Registration Process

3.1. Operational Workflow and Deadlines

The DCE registration process in the BAB environment will follow the operational workflow structured by BAB, comprising the following sequential stages, which are detailed throughout this Guide and in accordance with **Annex I**.

3.2. Stages of the DCE Operational Registration Process

I. Preparation of information for submission to BAB by the PR

The DCE registration process in the BAB registration environment begins with the PR after the transaction has been entered into by the parties outside the BAB environment.



Once the transaction has been entered into, for purposes of registering the DCE with BAB, the PR must complete the layout in accordance with **Annex IV** made available by BAB, or enter the data directly through the system interface, with all information necessary to properly characterize the DCE contracted, in accordance with BAB requirements.

The PR must exercise particular care to ensure that the minimum mandatory information is duly completed, internally consistent, and compatible with the nature of the DCE contracted.

II. Submission of DCE Registration Information by the PR to BAB

The PR must submit or enter the information for DCE registration in strict accordance with the technical and operational standards established by BAB. The information provided must faithfully reflect the terms and conditions of the DCE contracted.

III. Submission Methods

Transactions must be submitted to BAB through a structured electronic file in CSV format, in accordance with the model made available by BAB and provided for in **Annex IV**, or entered individually through the system interface.

The file may be submitted through the operational channels made available by BAB, including e-mail, SFTP, or electronic messaging, subject to the applicable technical connection and security requirements.

The fields and data structures to be used by the PR must reflect the operating model adopted by BAB and may be adjusted as the service evolves, without prejudice to the consistency of the information required for registration.

IV. Operating model

For submission, entry, and processing purposes, each DCE must be described by a set of information that enables BAB to understand, interpret, and properly register the DCE.



In general, this information is organized into 4 (four) main dimensions, as provided for in BAB rules:

- 1) The first dimension concerns transaction identification, including elements that enable its traceability throughout the operational lifecycle, such as identifiers, relevant dates, and identification of the party or parties involved.
- 2) The second dimension covers the characteristics of the instrument, reflecting the nature of the DCE contracted, the underlying asset or reference, the instrument type, its economic direction, terms, and other elements that define the contract structure.
- 3) The third dimension covers the economic terms of the DCE, including price parameters, multipliers, calculation methodologies, and other components that determine the economic value of the derivative.
- 4) Finally, the fourth dimension concerns operational and processing information, covering the management of contract lifecycle events — such as Assignment and Amortization —, as well as the classification of the transaction for processing by BAB and any supplementary information that assists in interpreting the structure or assessing adherence to market prices.

Together, these dimensions reflect the operating model presented and are sufficient to enable the proper registration of transactions; their granularity and level of detail may evolve as the service develops.

V. Classification of Transactions

DCE registration requests submitted to BAB must be classified by the PR under one of the following methods:

- (i) Direct Registration; or
- (ii) Registration with market price assessment.

The classification shall be determined by the PR, under its responsibility, based on the characteristics of the transaction, its degree of standardization, and the need for



additional support for regulatory or tax compliance purposes. The selected method determines the processing workflow for the transaction within the BAB environment.

VI. Information to Be Submitted by the PR to BAB

Each transaction must contain, at a minimum, the following information. The completion requirement for each field is indicated in the "Requirement" column:

Basic Identification Fields

No.	Field	What to Enter / Format	Requirement
1	Operation ID or UTI	Unique global transaction identifier (Alphanumeric).	Required
2	Nature of Operation	1=Inclusion 2=Amendment 3=Cancellation 4=Assignment 5=Amortization	Required
3	Parent Operation ID or UTI	Global identifier of the parent, related, or assigned transaction, as applicable (Alphanumeric).	Conditional (Required if Field 2 = 4 or 5; optional if Field 2 = 1, 2 or 3)
4	Registration Type	1=Direct 2=With price validation	Required
5	Instrument Type	1=Swaps 2=Options 3=Forward 4=NDF	Required
6	Market Type	1=OTC 2=Exchange 3=Other	Required
7	Trade Date	Transaction trade date (YYYY-MM-DD).	Required
8	Effective Date	Start date for calculation/cash flows (YYYY-MM-DD).	Required



No.	Field	What to Enter / Format	Requirement
9	Maturity Date	Contract settlement/termination date (YYYY-MM-DD).	Required
10	Settlement Method	1=Bilateral Cash Settlement 2=Physical Delivery 3=Cash Settlement via CCP	Required
11	Buy/Sell	Transaction direction for the holder: 1=Buy 2=Sell	Required
12	Settlement Currency	ISO currency code (e.g., BRL, USD).	Required

Identification of the Parties (Dynamic Block):

No.	Field	What to Enter / Format	Requirement
13	Reporting Party Identification	Registration identifier (14-digit CNPJ or 20-character LEI).	Required
14	Reporting Party Name / Corporate Name	Full legal name of the domestic holder entity.	Required
15	Reporting Party Country of Origin	ISO 3166-1 Alpha-2 country code (e.g., BR).	Required
16	Reporting Party E-Mail	Contact e-mail.	Optional
17	Identified Counterparty (Y/N)	1=Yes 0=No	Required



No.	Field	What to Enter / Format	Requirement
18	Counterparty Identification	LEI (20 characters) or equivalent ID.	Conditional (If Field 17 = 1)
19	Affiliate Counterparty	Belongs to the same economic group: 1=Yes 0=No	Conditional (If Field 17 = 1)
20	Counterparty Name / Corporate Name	Full legal name of the foreign counterparty.	Conditional (If Field 17 = 1)
21	Counterparty Country of Origin	ISO 3166-1 Alpha-2 code of the counterparty country.	Conditional (If Field 17 = 1)
22	Counterparty E-Mail	Contact e-mail.	Optional
23	Tax Party Identification	Registration identifier of the tax entity (CNPJ).	Optional

Fields Conditional on Instrument Type:

A. Option and Forward Parameters (If Field 5 = 2 or 3)

No.	Field	What to Enter / Format	Requirement
24	Base Value (Notional)	Reference notional amount (Decimal).	Conditional
25	Notional Currency	ISO 4217 code.	Conditional
26	Underlying Asset	Name of the reference asset and listing venue.	Conditional
27	Reference Market	Market reference (Alphanumeric).	Conditional (If Field 26 is populated)



28	Underlying Asset Currency	ISO 4217 code.	Conditional (If Field 26 is populated)
29	Underlying Asset Maturity	Maturity date of the reference asset (YYYY-MM-DD).	Conditional (If Field 26 is populated)
30	Operation Price / Rate	Unit cost, fixed rate, or spread (Decimal).	Conditional
31	Price Unit	Unit of measure of the priced asset.	Conditional (If Field 30 is populated)
32	Amortization Type	1=Bullet 2=Linear 3=Customized	Conditional

B. SWAP and NDF Leg Structure (If Field 5 = 1 or 4)

No.	Field	What to Enter / Format	Requirement
33/40	Notional Amount	Reference monetary amount associated with the leg (Decimal).	Conditional
34/41	Currency	ISO 4217 code.	Conditional
35/42	Price / Rate / Spread	Outright rate or floating spread (Decimal).	Conditional
36/43	Price / Rate Unit	Unit of measure of the priced asset.	Conditional
37/44	Amortization Type	1=Bullet 2=Linear 3=Customized	Conditional
38/45	Regime Type	1=Fixed 2=Floating	Conditional
39/46	Indexer	Index (e.g., CDI, SOFR) or PRE (Alphanumeric).	Conditional



Note: For fields presented in pairs, the first number refers to the **Reporting Leg** (Fields 33 to 39) and the second to the **Opposite/Exit Leg** (Fields 40 to 46).

C. Option-Specific Parameters (If Field 5 = 2)

No.	Field	What to Enter / Format	Requirement
47	Option Type	Nature of the right: 1=Buy (Call) 2=Sell (Put)	Conditional
48	Option Style / Exercise Style	1=American 2=European 3=Asian	Conditional
49	Strike Price	Exercise price stipulated for the asset (Decimal).	Conditional
50	Knock In Structure	2=UP-AND-IN 4=DOWN-AND-IN 5=N/A	Conditional
51	Knock-In Barrier	Activation value (Decimal).	Conditional (If Field 5 = 2 and Field 50 ≠ 5)
52	Knock Out Structure	1=UP-AND-OUT 3=DOWN-AND-OUT 5=N/A	Conditional
53	Knock-Out Barrier	Deactivation value (Decimal).	Conditional (If Field 5 = 2 and Field 52 ≠ 5)



Margin and Collateral Fields:

No.	Field	What to Enter / Format	Requirement
54	Bilateral Margin Exchange	Is margin called? 1=Yes 0=No	Required
55	Margin Depositor	1=Party 2=Counterparty 3=Both	Conditional (If Field 54 = 1)
56	Type of Margin Required	1=Variation Margin (VM) 2=Initial and Variation Margin (IM+VM) 3=Exempt	Conditional (If Field 54 = 1)
57	Eligible Collateral Type	1=Cash 2=Sovereign Securities 3=Other	Conditional (If Field 54 = 1)
58	Revaluation Frequency	1=Daily 2=Weekly 3=Monthly 4=Other	Conditional (If Field 54 = 1)
59	Exemption Limit (Threshold) - Party	Exposure amount below which no margin call is made (Decimal).	Conditional (If Field 55 = 1 or 3)
60	Threshold Currency - Party	ISO 4217 code.	Conditional (If Field 59 is populated)
61	Exemption Limit (Threshold) - Counterparty	Exposure amount below which no margin call is made (Decimal).	Conditional (If Field 55 = 2 or 3)
62	Threshold Currency - Counterparty	ISO 4217 code.	Conditional (If Field 61 is populated)



General Commercial Parameters, Fees, and Lifecycle Events:

No.	Field	What to Enter / Format	Requirement
63	Paid Transactional Fee/Rate	Upfront structuring fees paid (Decimal).	Optional
64	Transactional Fee/Rate Currency	ISO 4217 code.	Conditional (If Field 63 is populated)
65	Operation Purpose	1=Hedge 2=Arbitrage 3=Speculation	Required
66	Additional Information	Supporting notes or customized clauses (up to 4,000 characters).	Optional
67	Assignment Price/Rate	Additional price/fee charged as a result of the assignment (Decimal).	Conditional (If Field 2 = 4)
68	Amortization Date	Date on which the amortization was negotiated (YYYY-MM-DD).	Conditional (If Field 2 = 5)
69	Amortized Notional Value	Reference amount associated with the amortization performed.	Conditional (If Field 2 = 5)
70	Amortization Price/Rate	Unit price or net financial amount agreed to settle the amortized portion.	Conditional (If Field 2 = 5 and Field 4 = 2)

Where applicable, standardized identifiers must be used:

- UTI (Unique Transaction Identifier); and
- UPI (Unique Product Identifier).

If unavailable, an internally traceable identifier must be used.



VII. Validation of Information by BAB for Confirmation of DCE Registration

Upon receipt, BAB will validate the information by verifying the proper completion of mandatory fields, adherence to the formats defined by BAB, and the consistency of the information provided. This validation includes an assessment of data integrity, consistency among the parameters reported, and compatibility with the contract models accepted for registration by BAB, as described below.

The file will only be considered received after its successful insertion into BAB systems has been verified.

a) Structural Validation

- Mandatory fields may not be left blank; and
- Data types must comply with the defined format

b) Logical Validation

- Maturity Date $\geq$ Trade Date;
- 0 business days $\leq$ Protocol Date - Trade Date $\leq$ 2 business days;
- Start/Effective Date $\leq$ Maturity Date; and
- Base Amount (Notional) > 0

c) Rejection

The transaction will be rejected in the following cases:

- Invalid file;
- Missing mandatory fields; and
- Logical inconsistency.

Transaction validation will be performed automatically by BAB systems, including structural and logical checks of the information submitted.

The validation result will be made available to the Registration Participant through the system interface.

Where applicable, the system interface will identify in detail the fields containing inconsistencies, allowing the transaction to be corrected and resubmitted. The PR is



responsible for making the indicated corrections and resubmitting the transaction in accordance with Step II described above. The workflow is set out in **Annex I**.

VIII. Receipt of DCE Registration

If no inconsistencies are identified, the transaction will be considered valid and eligible to proceed through the operational workflow corresponding to its classification.

IX. Processing of Transactions by Type of Analysis

▪ Registration of Transactions without Price Analysis

For transactions classified by the PR as not subject to a market price adherence assessment, BAB will, after operational validation, register the transaction in its systems.

In such cases, BAB does not perform any economic assessment or price validation and limits its role to registering the transaction based on the information provided by the PR.

Registration confirmation will be made available to the PR directly through the system interface, allowing the details to be exported as a receipt (containing the transaction identification, registration status, and other information). In addition, this information will also be made available through daily reports.

▪ Transactions Subject to Market Price Adherence Assessment

For transactions classified with price analysis, BAB will evaluate price adherence not only upon initial inclusion, but also for Amortization and Assignment events — assessing the compatibility of the Price/Rate of the transaction with prevailing market conditions.

The purpose of this assessment is to determine whether the transaction pricing terms are compatible with observable market parameters, taking into account the specific characteristics of the DCE submitted for registration.

The acceptance criteria applied in the market price adherence assessment will follow the rationale below:

- For transactions whose asset, reference, or structure has liquidity and observable market parameters, the price reported in the registration will be



compared against the references available for the transaction date, such as opening, closing, low, and high prices.

- For transactions associated with an asset, reference, or structure with lower liquidity, the assessment may consider, in addition to available references, price history, behavior of the underlying asset, comparable instruments, contractual characteristics, and other technical data that support an assessment of the economic reasonableness of the reported price.
- Where there are insufficient observable references or the market lacks sufficient liquidity to support an objective comparison, BAB may assess price adherence using its own methodology, taking into account the nature, structure, and specific features of the DCE submitted for registration, as well as the technical parameters available.

Upon completion of the assessment, the following outcomes may apply:

- if adherence to market price is confirmed, the transaction will be registered in the ordinary course; or
- if a material divergence from market conditions is identified, BAB may request additional explanations or supporting information from the PR. In such case, the transaction will remain pending until the supplementary information submitted is assessed, as provided in Annex II. If the divergence is not resolved through the explanations provided, registration of the transaction will be denied

X. Conclusion and Communication

BAB will make available to the PR, through the system interface (and in a report at the end of the trading session), information regarding the processing of submitted transactions, including:

- confirmation that the DCE registration has been accepted;
- indication of rejection due to data inconsistency; and
- a request for additional information or clarification.



For transactions subject to price analysis, the system interface will also display the outcome of the market adherence assessment or any need for supporting justification.

In the event of rejection or a request for clarification, the PR will have up to 1 (one) Business Day to submit the supporting information or supplementary details. Upon receipt, BAB will make best efforts to review the submission and state whether the transaction is accepted or definitively rejected within up to 1 (one) Business Day.

The expected processing and response time for transactions will follow BAB's operational cycle and, under usual conditions, will be up to 1 (one) Business Day from receipt of the transaction, without prejudice to the additional deadlines provided for in this Chapter.

Note: The deadlines mentioned in this section are solely indicative and for guidance purposes, reflecting BAB's commitment to process efficiency. They do not constitute strict obligations or grounds for liability of the parties in the event of operational fluctuations.

4. Operating Hours

The submission, processing, and response of transactions will comply with the DCE Registration Hours, which will be disclosed by Circular Letter.

Inclusion, amendment, cancellation, assignment, amortization, and any other operational actions relating to DCE may only be performed during DCE Registration Hours.

5. General Provisions

Registration of DCE transactions in the BAB environment does not alter the contractual terms agreed between the parties and does not interfere with the financial or physical settlement of the transactions, which remain governed by the terms originally agreed.

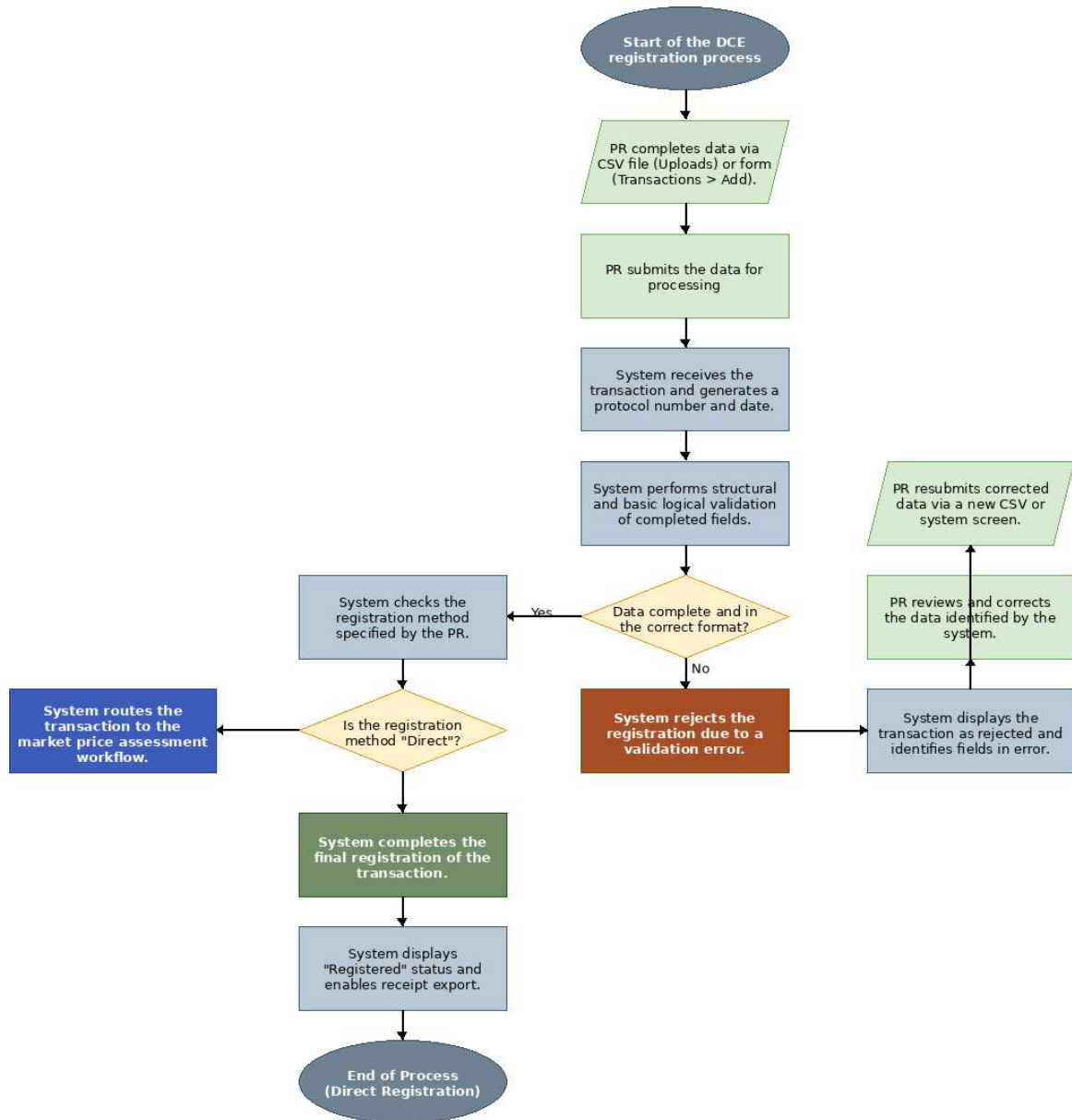
BAB will retain records of transactions and related interactions for the period and under the conditions established by the applicable regulation and BAB rules, ensuring traceability and integrity of the information.



The procedures described in this Guide may be enhanced over time as the operating model, regulatory requirements, and market needs evolve. Changes to this Guide will be disclosed to BAB Participants through a Circular Letter made available on BAB's official website.

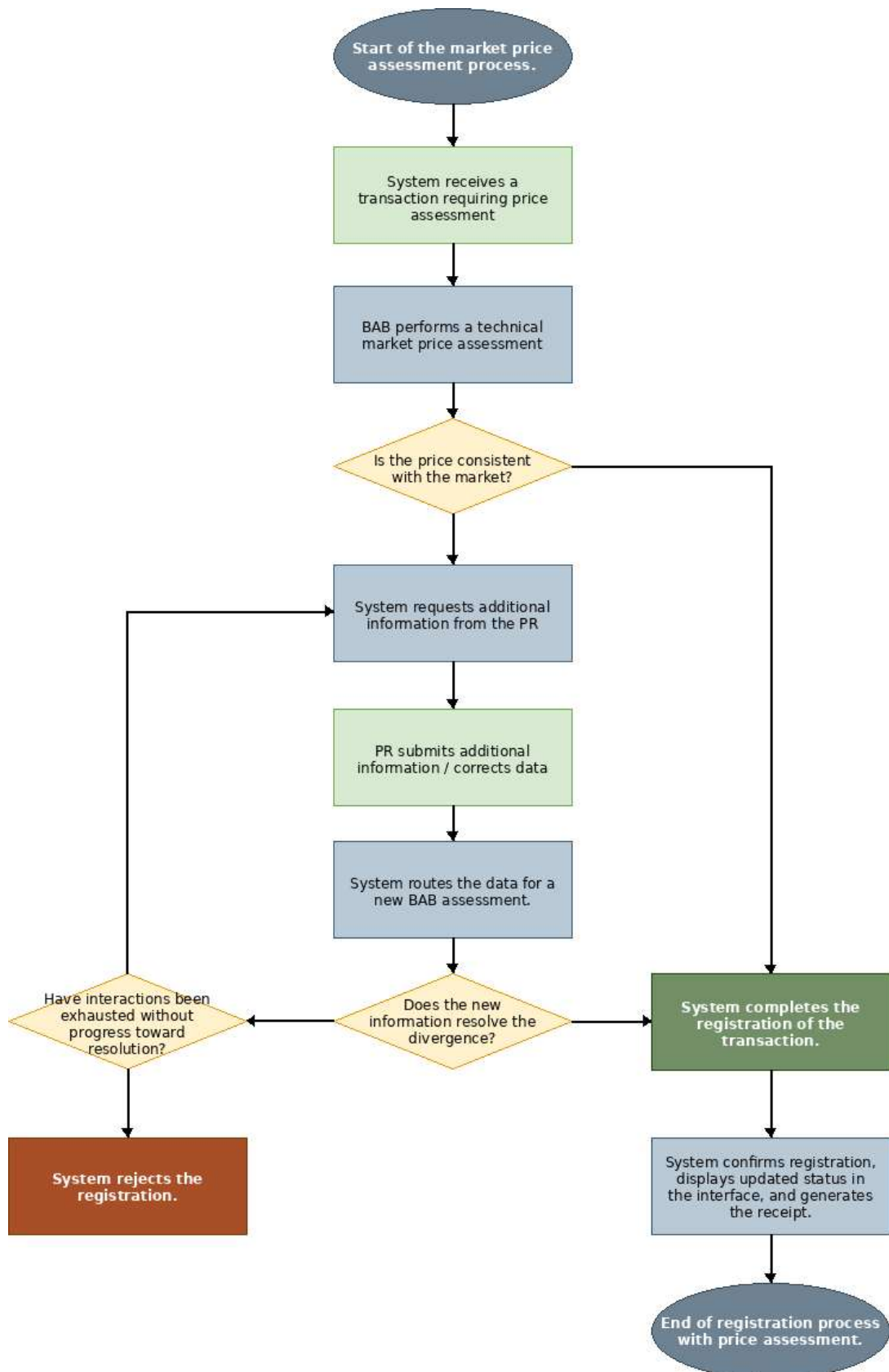


Annex I - Operational Workflow for Validation and Registration of "Direct" DCE





Annex II - Market Price Adherence Assessment Workflow





Annex III - Registration Participant Operational Step-by-Step Guide

This section guides the Registration Participant ("PR") on access to the BAB system and the use of operational functionalities for submitting, consulting, and monitoring requests to register Derivatives Contracted Abroad ("DCE").

The Registration Participant (PR) is fully responsible for the accuracy, integrity, consistency, and correct classification of the information submitted to BAB, in accordance with the applicable layouts, technical standards, and operational workflows. Before any submission, the PR must ensure that the transaction data are complete, internally consistent, and compatible with the nature of the DCE to be registered.

1. System Access

Access to the BAB system is provided through individual credentials linked to the profile of the user authorized by the PR.

1. Initial Authentication: On the login screen, the user must enter their credentials (username and password).

Balcão Agrícola do Brasil

DCE Portal

Sign in with a broker or administrator account.

Username

Password

Login

[Forgot password?](#)

2. Two-Factor Authentication: The system will then send a one-time code (OTP - One-Time Pin) to the user's registered e-mail address.



The screenshot shows the Balcão Agrícola do Brasil DCE Portal login interface. It prompts the user to sign in with a broker or administrator account. A message states that a one-time PIN has been sent to a masked email address. The OTP expires at 2026-06-22T14:20:36.3206176Z. There is a text input field for the One-Time PIN and a green 'Verify OTP' button.

3. Main Dashboard: After the code is validated, the user will be directed to the main page, where the batch submission and transactions pages will be available.

Password Reset: If the user does not remember the password and needs to reset it, click the "Forgot password?" link (just below the "Login" button) and provide the registered e-mail address to receive recovery instructions.

The screenshot shows the Balcão Agrícola do Brasil DCE Portal login interface. It prompts the user to sign in with a broker or administrator account. There are input fields for Username and Password, followed by a green 'Login' button. Below the login button is a blue 'Forgot password?' link. Underneath the link is an input field for 'Forgot password email' and a green 'Send reset link' button.



2. Preparing Information for Submission

Before initiating any submission, the PR must structure the transaction information in accordance with the layout and technical standards defined by BAB. Particular attention should be paid to the details explained earlier in this Guide, including, among other items, the correct definition of the desired registration type.

Information may be submitted in two ways: in batch (via CSV file) or individually (directly through the system interface).

Option A: Batch Submission (via CSV file)

Batch submission is performed by uploading a CSV file on the Submissions page, following the steps below:

DCE Registration Upload

Logged in as [User Name]

Uploads Transactions Notifications

Upload CSV

Escolher Arquivo Nenhum arquivo escolhido Upload and Validate

Recent Uploads

Search...

Batch	File	Uploaded By	Uploaded At (UTC-3) v	Total	Valid	Invalid
22	00_valid_optimized_matrix -20260629.csv	[Redacted]	2026-07-14 13:50:01	1	1	0
21	order_test -20260629.csv	[Redacted]	2026-07-10 11:51:41	2	2	0
20	00_valid_optimized_matrix -20260629.csv	[Redacted]	2026-07-01 11:51:27	84	83	1
19	20_layout_values_with_leading_trailing_spaces.csv	[Redacted]	2026-06-19 16:06:44	3	3	0
18	19_layout_crlf_line_endings.csv	[Redacted]	2026-06-19 16:06:23	3	3	0

Step 1: Click "Choose File" ("Escolher Arquivo") and select the desired CSV file on your computer.

Step 2: Click "Upload and Validate". The system will generate a preview containing the results of the automated record validations before final submission, detailing any fields with errors. In addition to listing all transactions - showing the status "Valid" or "Invalid" based on the system assessment of their parameters - the screen will display a total count at the top.



Validation Preview

13:32:37 UTC-3 Open Closes at 5:30 PM EN PT-BR

UPLOAD STATUS SUMMARY

FILE 00_valid_optimized_matrix.csv TOTAL 84 VALID 82 INVALID 2

Amendment Failed 1 Transaction Already Exists 83

Search...

Row ^	Transaction ID	Upload Status	Transaction Status	Details
2	DCEEXPV0001	Amendment Failed	Invalid	TransactionIdentifier: Duplicate TransactionIdentifier detected. Existing transaction can only be amended when the current status is Rejected or when Natureza_Operacao is 2. (Value: 'DCEEXPV0001')
3	DCEEXPV0002	Transaction Already Exists	Valid	-
4	DCEEXPV0003	Transaction Already Exists	Valid	-
5	DCEEXPV0004	Transaction Already Exists	Valid	-
6	DCEEXPV0005	Transaction Already Exists	Valid	-
7	DCEEXPV0006	Transaction Already Exists	Valid	-
8	DCEEXPV0007	Transaction Already Exists	Valid	-
9	DCEEXPV0008	Transaction Already Exists	Valid	-
10	DCEEXPV0009	Transaction Already Exists	Valid	-
11	DCEEXPV0010	Transaction Already Exists	Valid	-
12	DCEEXPV0011	Transaction Already Exists	Valid	-
13	DCEEXPV0012	Transaction Already Exists	Valid	-

Step 3: Confirm the transaction. At the bottom of the screen, after the list of validated records, click the Submit button to complete the action or Cancel to abort it.

68	DCEEXPV0067	Transaction Already Exists	Valid	-
69	DCEEXPV0068	Transaction Already Exists	Valid	-
70	DCEEXPV0069	Transaction Already Exists	Valid	-
71	DCEEXPV0070	Transaction Already Exists	Valid	-
72	DCEEXPV0071	Transaction Already Exists	Valid	-
73	DCEEXPV0072	Transaction Already Exists	Valid	-
74	DCEEXPV0073	Transaction Already Exists	Valid	-
75	DCEEXPV0074	Transaction Already Exists	Valid	-
76	DCEEXPV0075	Transaction Already Exists	Valid	-
77	DCEEXPV0076	Transaction Already Exists	Valid	-
78	DCEEXPV0077	Transaction Already Exists	Valid	-
79	DCEEXPV0078	Transaction Already Exists	Valid	-
80	DCEEXPV0079	Transaction Already Exists	Valid	-
81	DCEEXPV0080	Transaction Already Exists	Valid	-
82	DCEEXPVBOUND_SMALL_NOTIONAL	Transaction Already Exists	Valid	-
83	DCEEXPVBOUND_BIG_NOTIONAL	Transaction Already Exists	Valid	-
84	DCEEXPVBOUND_PRECISION_PRK	Transaction Already Exists	Invalid	Price / Rate: Decimal must use '.' as decimal separator. Eligible Collateral Type: Numeric enum must be one of: 1, 2, 3.
85	DCEEXPVBOUND_LONG_INFO	Transaction Already Exists	Valid	-

13:33:12 UTC-3 Open Closes at 5:30 PM EN PT-BR

Cancel Submit

Option B: Individual Record Entry

If you prefer to enter one record at a time without using a CSV file, follow the workflow below:

Step 1: Go to the Transactions page and click the "Add" button.



Balcão Agrícola do Brasil
DCE System

Transactions

Logged in as: [User Name]

Uploads Transactions Notifications

From date: 23/07/2025 To date: 23/07/2026 Type: All

Select all Add Amend Export Selected Transactions Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY

REGISTRATION STATUS	Count
Total	5201
Cancelled	2
Information Required	3
Pending Registration	1295
Registered	3566
Registry Not Accepted	1
Rejected	334

Audit	UTI (Unique Trade Identifier)	Registration Type	Registration Status	Protocol Date	Last Updated	BAB Registration ID	Registration Date	Uploaded By
☐ View Audit	LIFE_ORDER_001	Direct	Cancelled	2026-06-19 15:30:36	2026-06-19 15:37:50	-	-	[User Name]
☐ View Audit	DCEEXPERF04984	With price validation	Cancelled	2026-06-19 15:56:11	2026-06-29 11:48:41	-	-	[User Name]
☐ View Audit	DCEEXPV0001	Direct	Information Required	2026-06-19 14:28:02	2026-07-14 13:46:21	-	-	[User Name]
☐ View Audit	DCEEXPERF04522	Direct	Information Required	2026-06-19 15:56:11	2026-06-22 11:48:38	-	-	[User Name]
☐ View Audit	DCEEXPERF04992	With price validation	Information Required	2026-06-19 15:56:11	2026-06-30 09:39:43	-	-	[User Name]

Step 2: On the entry screen that opens, complete all mandatory and applicable optional fields for the transaction.

Balcão Agrícola do Brasil
DCE System

Transactions

Logged in as: fernando.sampaio+broker@ba

Uploads Transactions Notification

From date: 23/07/2025 To date: 23/07/2026

Select all Add Amend Respo

REGISTRATION STATUS SUMMARY

REGISTRATION STATUS	Count
Total	5201
Cancelled	2
Information Required	3

Add Transaction

UTI (Unique Trade Identifier) [Text Field]

Registration Type [Dropdown]

Nature of the operation [Dropdown]

Reporting Party Identification [Text Field]

Reporting Party Name / Corporate Name [Text Field]

Reporting Party E-Mail [Text Field]

Reporting Party Country of Origin [Text Field]

Identified Counterparty (Y/N) [Text Field]

Counterparty E-Mail [Text Field]

Tax Party Identification [Text Field]

Trade Date [dd/mm/aaaa] [Text Field]

Effective Date [dd/mm/aaaa] [Text Field]

Maturity Date [dd/mm/aaaa] [Text Field]

Instrument Type [Dropdown]

Settlement Method [Dropdown]

Settlement Currency [Text Field]

Base Value (Notional) [Text Field]

Quantity [Text Field]

Multiplier [Text Field]

Buy/Sell [Text Field]

Uploaded By [Text Field]

Step 3: After completing the fields, click the confirmation button located at the bottom of the window.



Balção Agrícola do Brasil
DCE System

Transactions

Logged in as fernando.sampaio+broker@balcaoagricola.com.br

Uploads Transactions Notification

From date: 23/07/2025 To date: 23/07/2025

Select all Add Amend Respo

REGISTRATION STATUS SUMMARY

Total 5201 Cancelled 2 Informa

Audit UTI (Unique Trade Identifier)

View Audit LIFE_ORDER_001

View Audit DCEEXPPEF04904

View Audit DCEEXPV0001

View Audit DCEEXPPEF04522

View Audit DCEEXPPEF04992

Add Transaction

UTI (Unique Trade Identifier)

Registration Type

Nature of the operation

Reporting Party Identification

Reporting Party Name / Corporate Name

Reporting Party E-Mail

Reporting Party Country of Origin

Identified Counterparty (Y/N)

Counterparty E-Mail

Tax Party Identification

Trade Date

Effective Date

dd/mm/aaaa

dd/mm/aaaa

Maturity Date

Instrument Type

dd/mm/aaaa

Settlement Method

Settlement Currency

Base Value (Notional)

Quantity

Multiplier

Buy/Sell

Cancel

Uploaded By

Broker/alexandre.carretero+broken

Broker/alexandre.carretero+broken

Admin/alexandre.carretero@balcac

Broker/alexandre.carretero+broken

Broker/alexandre.carretero+broken

Step 4: A confirmation pop-up window will be displayed. Confirm the action to complete the process.

21/08/2025 21/08/2026 All Retrieve dce-uat.balcaoagricola.com.br/diz

Select all Add Amend Act

REGISTRATION STATUS SUMMARY

Total 5394 Cancelled 5 Pending Re

Audit Protocol ID Op

View Audit FBB14 FE

View Audit 11E45B FE

View Audit BD13F6 FE

View Audit 06E411 FE

View Audit C4293D FE

View Audit 373310 FE

View Audit B28FF9 FE

View Audit AD8280 FE

View Audit 7AF410 FE

View Audit 2101C5 FE

View Audit E323CE FE

View Audit 49C572 FE

OPTIONS AND FORWARD PARAM.

Base Value (Notional) *

10000

Underlying Asset *

soja

Underlying Asset Currency *

USD

Operation Price / Rate *

125,00

Amortization Type *

Bullet

GUARANTEES AND COLLATERAL

Bilateral Margin Exchange *

No

OTHERS

Paid Transactional Fee/Rate

Operation Purpose *

Hedge

Additional Information

Validate and create this transaction? Please review the summary below and click OK to confirm.

Operation ID or UTI: FER2060820TESTE0011

Nature of the operation: 1

Parent Operation ID or UTI: -

Registration Type: 1

Instrument Type: 3

Market Type: 1

Trade Date: 2026-08-21

Effective Date: 2027-08-21

Maturity Date: 2027-09-21

OK Cancel

Cancel Add

Registration ID **Registration Date** **Upload**

20-DCE064 2026-08-20 13:33:23 Broker/

20-9806A7 2026-08-20 13:44:21 Broker/

20-821C48 2026-08-20 14:33:24 Broker/

20-E30DD3 2026-08-20 14:37:40 Broker/

20-4862A9 2026-08-20 14:39:46 Broker/

20-D46FEB 2026-08-20 14:42:38 Broker/

20-FD980F 2026-08-20 14:43:29 Broker/

20-9440D2 2026-08-20 14:44:54 Broker/

20-BA28FF 2026-08-20 14:46:38 Broker/

20-4A638F 2026-08-20 14:49:19 Broker/

20-67D626 2026-08-20 14:51:00 Broker/

20-54FFD7 2026-08-20 15:26:23 Broker/

3. Viewing Transactions Submitted for Registration

On the Transactions page, submitted transactions can be managed using the following features:

- Status Monitoring:** View the status of each DCE subsystem record individually or through the overall counter at the center of the page.



Balcão Agrícola do Brasil
DCE System

13:33:39 UTC-3 **Open** Closes at 5:30 PM **EN** **PT-BR**

Transactions

Logged in as: _____

Uploads Transactions Notifications

From date: 23/07/2025 To date: 23/07/2026 Retrieve: All Type: All

Select all Add Amend Export Selected Transactions Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY

Total	5201	Cancelled 2	Information Required 3	Pending Registration 1295	Registered 3546	Registry Not Accepted 1	Rejected 334
-------	------	-------------	------------------------	---------------------------	-----------------	-------------------------	--------------

Audit	UTI (Unique Trade Identifier)	Registration Type	Registration Status ^	Protocol Date	Last Updated	BAB Registration ID	Registration Date	Uploaded By
☐ View Audit	LIFE_ORDER_001	Direct	Cancelled	2026-06-19 15:30:36	2026-06-19 15:37:50	-	-	
☐ View Audit	DCEEXPPERF04984	With price validation	Cancelled	2026-06-19 15:56:11	2026-06-29 11:48:41	-	-	
☐ View Audit	DCEEXPV0001	Direct	Information Required	2026-06-19 14:28:02	2026-07-14 13:46:21	-	-	
☐ View Audit	DCEEXPPERF04522	Direct	Information Required	2026-06-19 15:56:11	2026-06-22 11:48:38	-	-	
☐ View Audit	DCEEXPPERF04992	With price validation	Information Required	2026-06-19 15:56:11	2026-06-30 09:39:43	-	-	

- b) Advanced Filters: Filter records and their counts by protocol date or by any other information contained in the record (e.g., Party, Instrument, etc.).

Balcão Agrícola do Brasil
DCE System

13:33:39 UTC-3 **Open** Closes at 5:30 PM **EN** **PT-BR**

Transactions

Logged in as: _____

Uploads Transactions Notifications

From date: 23/07/2025 To date: 23/07/2026 Retrieve: All Type: All

Select all Add Amend Export Selected Transactions Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY

Total	5201	Cancelled 2	Information Required 3	Pending Registration 1295	Registered 3546	Registry Not Accepted 1	Rejected 334
-------	------	-------------	------------------------	---------------------------	-----------------	-------------------------	--------------

Audit	UTI (Unique Trade Identifier)	Registration Type	Registration Status ^	Protocol Date	Last Updated	BAB Registration ID	Registration Date	Uploaded By
☐ View Audit	LIFE_ORDER_001	Direct	Cancelled	2026-06-19 15:30:36	2026-06-19 15:37:50	-	-	
☐ View Audit	DCEEXPPERF04984	With price validation	Cancelled	2026-06-19 15:56:11	2026-06-29 11:48:41	-	-	
☐ View Audit	DCEEXPV0001	Direct	Information Required	2026-06-19 14:28:02	2026-07-14 13:46:21	-	-	
☐ View Audit	DCEEXPPERF04522	Direct	Information Required	2026-06-19 15:56:11	2026-06-22 11:48:38	-	-	
☐ View Audit	DCEEXPPERF04992	With price validation	Information Required	2026-06-19 15:56:11	2026-06-30 09:39:43	-	-	

- c) Report Export: *Download* the current view in Excel format using the "Export Selected Transactions" function.



Balcão Agrícola do Brasil
DCE System

13:34:44 UTC-3 **Open** Closes at 5:30 PM **EN** **PT-BR** **Logout**

Transactions

Logged in as [redacted]

Uploads Transactions Notifications

From date: 23/07/2025 To date: 23/07/2026 Retrieve Type: All

Select all Add Amend **Export Selected Transactions** Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY

Total 5201 Cancelled 2 Information Required 3 Pending Registration 1295 Registered 3566 Registry Not Accepted 1 Rejected 334

Audit	UTI (Unique Trade Identifier)	Registration Type	Registration Status	Protocol Date	Last Updated	BAB Registration ID	Registration Date	Uploaded By
☒ View Audit	LIFE_ORDER_001	Direct	Cancelled	2026-06-19 15:30:36	2026-06-19 15:37:50	-	-	[redacted]
☐ View Audit	DCEEXPPERF04984	With price validation	Cancelled	2026-06-19 15:56:11	2026-06-29 11:48:41	-	-	[redacted]
☐ View Audit	DCEEXPV0001	Direct	Information Required	2026-06-19 14:28:02	2026-07-14 13:46:21	-	-	[redacted]
☐ View Audit	DCEEXPPERF04522	Direct	Information Required	2026-06-19 15:56:11	2026-06-22 11:48:38	-	-	[redacted]
☐ View Audit	DCEEXPPERF04992	With price validation	Information Required	2026-06-19 15:56:11	2026-06-30 09:39:43	-	-	[redacted]

- d) Receipt Issuance: Export the receipt for a registered and submitted transaction.

Balcão Agrícola do Brasil
DCE System

13:34:44 UTC-3 **Open** Closes at 5:30 PM **EN** **PT-BR** **Logout**

Transactions

Logged in as [redacted]

Uploads Transactions Notifications

From date: 23/07/2025 To date: 23/07/2026 Retrieve Type: All

Select all Add Amend Export Selected Transactions **Export Transaction Receipt** Cancel

REGISTRATION STATUS SUMMARY

Total 5201 Cancelled 2 Information Required 3 Pending Registration 1295 Registered 3566 Registry Not Accepted 1 Rejected 334

Audit	UTI (Unique Trade Identifier)	Registration Type	Registration Status	Protocol Date	Last Updated	BAB Registration ID	Registration Date	Uploaded By
☒ View Audit	LIFE_ORDER_001	Direct	Cancelled	2026-06-19 15:30:36	2026-06-19 15:37:50	-	-	[redacted]
☐ View Audit	DCEEXPPERF04984	With price validation	Cancelled	2026-06-19 15:56:11	2026-06-29 11:48:41	-	-	[redacted]
☐ View Audit	DCEEXPV0001	Direct	Information Required	2026-06-19 14:28:02	2026-07-14 13:46:21	-	-	[redacted]
☐ View Audit	DCEEXPPERF04522	Direct	Information Required	2026-06-19 15:56:11	2026-06-22 11:48:38	-	-	[redacted]
☐ View Audit	DCEEXPPERF04992	With price validation	Information Required	2026-06-19 15:56:11	2026-06-30 09:39:43	-	-	[redacted]

4. Amendment of a Transaction Submitted for Registration

The amendment functionality is used to request a change to a record previously submitted.

Approval Rule: Except for corrections to transactions with "Rejected" status due to invalid fields, all other amendment requests require a justification for the change and are subject to BAB's substantive review before becoming effective.



As with transaction inclusion (described in Section 2), amendment procedures are available in two ways:

- Batch (via file): Use the CSV file with the "Nature of Operation" field populated with the value 2 (Amendment)
- Through the system interface: Select the desired record on the screen and click the "Amend" button, as illustrated below:

Transactions

Logged in as: [User Name]

Uploads Transactions Notifications

From date: 23/07/2025 To date: 23/07/2026 Type: All

Select all Add **Amend** Clear filters Export Selected Transactions Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY

Total	5201	Cancelled	2	Information Required	3	Pending Registration	1295	Registered	3566	Registry Not Accepted	1	Rejected	334
Audit	UTI (Unique Trade Identifier)	Registration Type	Registration Status	Protocol Date	Last Updated	BAB Registration ID	Registration Date	Uploaded By					
☒	View Audit	DCEEXPV0002	Direct	Registered	2026-06-19 14:28:02	2026-06-19 14:28:02	TRN-20260619-B84D1CC33DE8	2026-06-19 14:28:02					
☐	View Audit	DCEEXPV0003	Direct	Registered	2026-06-19 14:28:02	2026-06-19 14:28:02	TRN-20260619-0F61F114E67F	2026-06-19 14:28:02					
☐	View Audit	DCEEXPV0004	Direct	Registered	2026-06-19 14:28:02	2026-06-19 14:28:02	TRN-20260619-889023481E27	2026-06-19 14:28:02					
☐	View Audit	DCEEXPV0005	Direct	Registered	2026-06-19 14:28:02	2026-06-19 14:28:02	TRN-20260619-AC9831C2C9FD	2026-06-19 14:28:02					

After clicking the "Amend" button, a window will open allowing the record fields to be edited.

Amend Transaction

UTI (Unique Trade Identifier): DCEEXPV0001

Registration Type: Direct

Nature of the operation: Inclusion

Reporting Party Identification: 51000001000177

Reporting Party Name / Corporate Name: Empresa Brasileira Teste 0001 SA

Reporting Party E-Mail: teste0001@empresa.com.br

Reporting Party Country of Origin: BR

Identified Counterparty (Y/N): No

Counterparty E-Mail: Teste@email.com

Tax Party Identification:

Trade Date: 16/06/2026

Effective Date: 17/06/2026

Maturity Date: 14/12/2026

Instrument Type: Swaps

Settlement Method: Cash Settled

Settlement Currency: BRL

Swap Type: Interest Rate

Underlying Asset (Reporting Party): CDI

Underlying Asset Currency (Reporting Party):

Underlying Asset (Counterparty):

Uploaded By:

At the bottom of this window, click "Save" to record the changes. The system will display a confirmation message and then proceed with the process.



Balcão Agrícola do Brasil
DCE System

Transactions

Logged in as [User Name]

Uploads Transactions Notifications

From date: 23/07/2025 To date: 23/07/2026

Select all Add Amend Responses

REGISTRATION STATUS SUMMARY
Total: 5201 Cancelled: 2 Information

Audit UTI (Unique Trade Identifier)

Search...

☐ View Audit LIFE_ORDER_001
☐ View Audit DCEEXPERF04984
☒ View Audit DCEEXPV0001
☐ View Audit DCEEXPERF04522
☐ View Audit DCEEXPERF04992

16/06/2026
Maturity Date
14/12/2026

Save changes to this transaction?
OK Cancel

Settlement Method
Cash Settled

Swap Type
Interest Rate

Underlying Asset Currency (Reporting Party)
BRL

Underlying Asset Currency (Counterparty)
BRL

Price / Rate
1010000

Multiplier
Buy/Sell
Buy

Functionality / Purpose
Hedge
Bilateral Margin Exchange
No

Additional Information

Underlying Asset (Reporting Party)
CDI

Underlying Asset (Counterparty)
IPCA

Base Value (Notional)
Quantity

Cancel Save

5. Assignment of a Transaction Submitted for Registration

The assignment functionality is used to submit requests to transfer ownership (full or partial) of an active transaction to a new counterparty.

Similarly to transaction amendments (detailed in Section 4), assignment procedures are available in two ways:

- Batch (via file): Use the CSV file with the “Nature of Operation” field populated with the value 4 (Assignment), providing the Parent / Related / Assigned Transaction ID or UTI (Field 3) and the Assignment Price/Rate (Field 67).
- Through the system interface: Select the desired record on the Transactions page and click the “Assignment” button, as illustrated below:

Uploads Transactions Notifications

From date: 20/08/2025 To date: 20/08/2026 Type: All Retrieve Filter

Select all Add Amend **Assignment** Amortization Export Selected Transactions Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY
Total: 14 Pending Registration: 2 Registered: 12

Audit	Protocol ID	Operation ID or UTI	Registration Type	Registration Status	Protocol Date	Last Updated v	BAB Registration ID	Registration Date	Uploaded By	Nature of the operation
☐ View Audit	49C572	FER2060820TESTE0002CCA1C1	Direct	Registered	2026-08-20 15:26:23	2026-08-20 15:26:23	TRN-20260820-54FFD7	2026-08-20 15:26:23		Assignment
☐ View Audit	E323CE	FER2060820TESTE0001A3C1	Direct	Registered	2026-08-20 14:51:00	2026-08-20 14:51:00	TRN-20260820-67D626	2026-08-20 14:51:00		Assignment
☐ View Audit	2101C6	FER2060820TESTE0002CCA1	Direct	Registered	2026-08-20 14:49:19	2026-08-20 14:49:19	TRN-20260820-4A638F	2026-08-20 14:49:19		Amortization
☐ View Audit	7AF410	FER2060820TESTE0001A4A1	Direct	Registered	2026-08-20 14:46:38	2026-08-20 14:46:38	TRN-20260820-BA28FF	2026-08-20 14:46:38		Amortization
☐ View Audit	AD6280	FER2060820TESTE0001A4	Direct	Registered	2026-08-20 14:44:54	2026-08-20 14:44:54	TRN-20260820-9440D2	2026-08-20 14:44:54		Amortization
☐ View Audit	828FF9	FER2060820TESTE0001A3	Direct	Registered	2026-08-20 14:43:29	2026-08-20 14:43:29	TRN-20260820-FD980F	2026-08-20 14:43:29		Amortization
☐ View Audit	373310	FER2060820TESTE0001A2	Direct	Registered	2026-08-20 14:42:38	2026-08-20 14:42:38	TRN-20260820-D46FEB	2026-08-20 14:42:38		Amortization
☐ View Audit	C4293D	FER2060820TESTE0001A	Direct	Registered	2026-08-20 14:39:46	2026-08-20 14:39:46	TRN-20260820-4862A9	2026-08-20 14:39:46		Amortization
☐ View Audit	06E411	FER2060820TESTE0002CC	Direct	Registered	2026-08-20 14:37:40	2026-08-20 14:37:40	TRN-20260820-E300D3	2026-08-20 14:37:40		Assignment
☐ View Audit	8D13F6	FER2060820TESTE0002C	Direct	Registered	2026-08-20 14:33:24	2026-08-20 14:33:24	TRN-20260820-821C48	2026-08-20 14:33:24		Assignment
☐ View Audit	56EF04	FER2060820TESTE0004	With price validation	Pending Registration	2026-08-20 14:28:23	2026-08-20 14:28:23	-	-		Inclusion
☐ View Audit	21D490	FER2060820TESTE0003	With price validation	Pending Registration	2026-08-20 13:46:28	2026-08-20 13:46:28	-	-		Inclusion
☐ View Audit	11E458	FER2060820TESTE0002	Direct	Registered	2026-08-20 13:44:21	2026-08-20 13:44:21	TRN-20260820-9806A7	2026-08-20 13:44:21		Inclusion
☒ View Audit	F8B814	FER2060820TESTE0001	Direct	Registered	2026-08-20 13:33:23	2026-08-20 13:33:23	TRN-20260820-DCE064	2026-08-20 13:33:23		Inclusion



Upon clicking the “Assignment” button, a window will open allowing the editing of party fields and entry of details for the assigned contract.

At the bottom of this window, click “Save” to record the changes. The system will display a confirmation message and then proceed with the process.

6. Amortization of a Transaction Submitted for Registration

The amortization functionality is used to submit requests to record the partial settlement of the reference notional amount over the contract lifecycle.

Similarly to transaction amendments (detailed in Section 4), amortization procedures are available in two ways:

- Batch (via file): Use the CSV file with the “Nature of Operation” field populated with the value 5 (Amortization), providing the Amortization Date (Field 68), the Amortized Notional Amount (Field 69), and the Amortization Price/Rate (Field 70).
- Through the system interface: Select the desired record on the Transactions page and click the “Amortization” button, as illustrated below:



Uploads Transactions Notifications

15:05:04 UTC-4 Open Close at 13:00 PT-BR

From date: 28/08/2025 To date: 28/08/2026 Type: All Retrieve Filter

Select all Add Amend Assignment **Amortization** Export Selected Transactions Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY

Total 14 Pending Registration 2 Registered 12

Audit	Protocol ID	Operation ID or UTI	Registration Type	Registration Status	Protocol Date	Last Updated v	BAB Registration ID	Registration Date	Uploaded By	Nature of the operation
☐	View Audit	49C572	FER20060820TESTE0002CCA1C1	Registered	2026-08-20 15:26:23	2026-08-20 15:26:23	TRN-20260820-54FF07	2026-08-20 15:26:23	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Assignment
☐	View Audit	E323CE	FER20060820TESTE0001A3C1	Registered	2026-08-20 14:51:00	2026-08-20 14:51:00	TRN-20260820-67D626	2026-08-20 14:51:00	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Assignment
☐	View Audit	2101C6	FER20060820TESTE0002CCA1	Registered	2026-08-20 14:49:19	2026-08-20 14:49:19	TRN-20260820-44638F	2026-08-20 14:49:19	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Amortization
☐	View Audit	7AF410	FER20060820TESTE0001AAA1	Registered	2026-08-20 14:46:38	2026-08-20 14:46:38	TRN-20260820-8A28FF	2026-08-20 14:46:38	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Amortization
☐	View Audit	AD6280	FER20060820TESTE0001A4	Registered	2026-08-20 14:44:54	2026-08-20 14:44:54	TRN-20260820-9440D2	2026-08-20 14:44:54	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Amortization
☐	View Audit	B28FF9	FER20060820TESTE0001A3	Registered	2026-08-20 14:43:29	2026-08-20 14:43:29	TRN-20260820-FD980F	2026-08-20 14:43:29	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Amortization
☐	View Audit	373310	FER20060820TESTE0001A2	Registered	2026-08-20 14:42:38	2026-08-20 14:42:38	TRN-20260820-D46F8B	2026-08-20 14:42:38	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Amortization
☐	View Audit	C4293D	FER20060820TESTE0001A	Registered	2026-08-20 14:39:46	2026-08-20 14:39:46	TRN-20260820-4862A9	2026-08-20 14:39:46	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Amortization
☐	View Audit	06E411	FER20060820TESTE0002CC	Registered	2026-08-20 14:37:40	2026-08-20 14:37:40	TRN-20260820-E30D03	2026-08-20 14:37:40	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Assignment
☐	View Audit	BD13F6	FER20060820TESTE0002C	Registered	2026-08-20 14:33:24	2026-08-20 14:33:24	TRN-20260820-B21C48	2026-08-20 14:33:24	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Assignment
☐	View Audit	56E704	FER20060820TESTE0004	Pending Registration	2026-08-20 14:28:23	2026-08-20 14:28:23	-	-	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Indusion
☐	View Audit	21DA90	FER20060820TESTE0003	Pending Registration	2026-08-20 13:46:28	2026-08-20 13:46:28	-	-	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Indusion
☐	View Audit	11E458	FER20060820TESTE0002	Registered	2026-08-20 13:44:21	2026-08-20 13:44:21	TRN-20260820-9806A7	2026-08-20 13:44:21	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Indusion
☒	View Audit	F88B14	FER20060820TESTE0001	Registered	2026-08-20 13:33:23	2026-08-20 13:33:23	TRN-20260820-DCE064	2026-08-20 13:33:23	Broker/fernando.sampaio+broker@balcaoagricola.com.br	Indusion

Upon clicking the “Amortization” button, a window will open containing specific fields to record the amortized amount and agreed terms.

Uploads Transactions Notifications

15:06:58 UTC-4 Open Close at 13:00 PT-BR

From date: 28/08/2025 To date: 28/08/2026 Type: All Retrieve Filter

Select all Add Amend Assignment **Amortization** Export Selected Transactions Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY

Total 14 Pending Registration 2 Registered 12

Amortization Transaction

BASIC IDENTIFICATION 1

Operation ID or UTI * Nature of the operation *

Parent Operation ID or UTI *

Instrument Type *

BASIC IDENTIFICATION 2

Trade Date *

Maturity Date *

Buy/Sell *

PARTIES INFORMATION

Reporting Party Identification *

Reporting Party Country of Origin *

Identified Counterparty (Y/N) *

Tax Party Identification *

Effective Date *

Settlement Method *

Settlement Currency *

Reporting Party Name / Corporate Name *

Reporting Party E-Mail *

Counterparty E-Mail *

OPTIONS AND FORWARD PARAM.

At the bottom of this window, click “Save” to record the changes. The system will display a confirmation message and then proceed with the process.

7. Submitting a Cancellation Request

The cancellation functionality is used to submit requests to cancel a request or a registration, as applicable.

As with transaction inclusion (described in Section 2), cancellation procedures are available in two ways:



- Batch (via file): Use the CSV file with the "Nature of Operation" field populated with the value 3 (Cancellation).
- Through the system interface: Select the desired record on the screen and click the "Cancel" button, as illustrated below:

The screenshot shows the 'Transactions' page of the Balcão Agrícola do Brasil DCE System. The interface includes a header with the logo and system name, a top navigation bar with 'Uploads', 'Transactions', and 'Notifications' tabs. Below the tabs, there are filters for 'From date' (23/07/2025), 'To date' (23/07/2026), and 'Type' (All). Action buttons include 'Select all', 'Add', 'Amend', 'Clear filters', 'Export Selected Transactions', 'Export Transaction Receipt', and a red 'Cancel' button. A 'REGISTRATION STATUS SUMMARY' section shows counts: Total 5201, Cancelled 2, Information Required 3, Pending Registration 1295, Registered 3566, Registry Not Accepted 1, and Rejected 334. A table lists transactions with columns: Audit, UTI (Unique Trade Identifier), Registration Type, Registration Status, Protocol Date, Last Updated, BAB Registration ID, Registration Date, and Uploaded By. The first row is selected, showing a 'View Audit' link and a 'Registered' status.

After clicking "Cancel", the system will display a confirmation message and, once the user confirms, the cancellation will take effect.

The screenshot shows the same 'Transactions' page, but with a confirmation dialog box overlaid. The dialog box contains the text 'Cancel this transaction? Protocol ID: 0605A9' and two buttons: 'OK' and 'Cancel'. The background interface is dimmed, showing the same filters and status summary as the previous screenshot.

8. Sending a Response for Records with "Information Required" Status

The "Information Required" status will apply in two situations:

1. When an amendment is made to a record whose status is other than "Rejected";
or



- When, during the market price assessment process, BAB requires additional information about the transaction beyond the information contained in the record.

The response to this status must be submitted exclusively through the system interface. To do so, go to the Transactions page, select the desired record, and click the "Respond" button, as shown below:

Balcão Agrícola do Brasil
DCE System

Transactions

Logged in as: [User Name]

Uploads Transactions Notifications

From date: 23/07/2025 To date: 23/07/2026 Type: All

Select all Add Amend **Respond** Export Selected Transactions Export Transaction Receipt Cancel

REGISTRATION STATUS SUMMARY

Total \$201 Cancelled 2 Information Required 3 Pending Registration 1295 Registered 3566 Registry Not Accepted 1 Rejected 334

Audit	UTI (Unique Trade Identifier)	Registration Type	Registration Status	Protocol Date	Last Updated	BAB Registration ID	Registration Date	Uploaded By
☐ View Audit	LIFE_ORDER_001	Direct	Cancelled	2026-06-19 15:30:36	2026-06-19 15:37:50	-	-	
☐ View Audit	DCEEXP0001	With price validation	Cancelled	2026-06-19 15:56:11	2026-06-29 11:48:41	-	-	
☒ View Audit	DCEEXPV0001	Direct	Information Required	2026-06-19 14:28:02	2026-07-14 13:46:21	-	-	
☐ View Audit	DCEEXP0002	Direct	Information Required	2026-06-19 15:56:11	2026-06-22 11:48:38	-	-	
☐ View Audit	DCEEXP0003	With price validation	Information Required	2026-06-19 15:56:11	2026-06-30 09:39:43	-	-	

After clicking "Respond", a new window will be displayed containing:

- A mandatory text field for entering the response;
- The "Choose File" ("Escolher Arquivo") button for attaching files (optional); and
- All record fields open for editing, allowing values to be changed if necessary.

Balcão Agrícola do Brasil
DCE System

Transactions

Logged in as: [User Name]

Uploads Transactions Notification

From date: 23/07/2025 To date: 23/07/2026

Select all Add Amend Respond

REGISTRATION STATUS SUMMARY

Total \$201 Cancelled 2 Information Required 3 Pending Registration 1295 Registered 3566 Registry Not Accepted 1 Rejected 334

Respond to Information Request

Explanation
REQUIRED

Attach Supporting Document (Optional)
Escolher Arquivos Nenhum arquivo escolhido

You can amend transaction fields below before submitting your response.

UTI (Unique Trade Identifier) DCEEXPV0001	Registration Type Direct
Nature of the operation Inclusion	Reporting Party Identification 51000001000177
Reporting Party Name / Corporate Name Empresa Brasileira Teste 0001 SA	Reporting Party E-Mail teste0001@empresa.com.br
Reporting Party Country of Origin BR	Identified Counterparty (Y/N) No
Counterparty E-Mail Teste@email.com	Tax Party Identification
Trade Date 16/06/2026	Effective Date 17/06/2026
Maturity Date	Instrument Type



At the bottom of this window, click the "Respond" button to submit the information. The system will display a confirmation *pop-up* before final submission.

The screenshot displays the 'Transactions' section of the 'Balcão Agrícola do Brasil' DCE System. A modal form is open for registration, with fields for Maturity Date (16/06/2026), Settlement Method (Cash Settled), Swap Type, Interest Rate, Underlying Asset Currency (Reporting Party) (BRL), Underlying Asset Currency (Counterparty) (BRL), Price / Rate, Multiplier, Functionality / Purpose, Hedge, and Additional Information. A confirmation pop-up is overlaid on the form, asking 'Submit this response and return transaction for registration?' with 'OK' and 'Cancelar' buttons. The background shows a table of transactions and a sidebar with navigation options like 'Uploads', 'Transactions', and 'Notifications'.

9. Registration Process Audit and Review of Submitted Information

The Audit feature, available on the Transactions screen for each record row, allows users to:

a) Chronological Action History: Review in detail and in chronological order all actions performed by users (such as inclusion, requested amendments, responses provided, or cancellations). It also displays the corresponding system responses (information requests, rejections due to invalid fields, and final protocol statuses such as "Registered" or "Registration Not Accepted").

b) Document and Comment View: Access all documents and comments entered through the interface during the process, whether submitted by the user or returned by BAB.

How to Access the Audit:

1. Select the protocol or record of interest in the table;
2. Click the "View Audit" button.

Immediately below the selected record, rows detailing each action in the process will be displayed, together with links to view the documents submitted. To close the history and return to the standard transaction view, click the "Hide Audit" button.

10. General Notes

PUBLIC INFORMATION



Annex IV - CSV Layout

No.	Field	Transaction Type	Description	Data Type / Domain	Requirement
1	Operation ID or UTI	All	Unique global transaction identifier (international standard).	Alphanumeric	Required
2	Nature of Operation	All	Type of reported regulatory event.	Numeric (Enum): 1=Inclusion 2=Amendment 3=Cancellation 4=Assignment 5=Amortization	Required
3	Parent Operation ID or UTI	All	Global identifier of the parent, related, or assigned transaction, as applicable.	Alphanumeric	Conditional (Required if Field 2 = 4 or 5; optional if Field 2 = 1, 2 or 3)
4	Registration Type	All	Contract registration workflow.	Numeric (Enum): 1=Direct 2=With price validation	Required
5	Instrument Type	All	Classification of the financial instrument.	Numeric (Enum): 1=Swaps 2=Options 3=Forward 4=NDF	Required
6	Market Type	All	Type of market in which the contract was traded.	Numeric (Enum): 1=OTC 2=Exchange 3=Other	Required
7	Trade Date	All	Transaction closing date (Trade Date).	Date (YYYY-MM-DD)	Required



No.	Field	Transaction Type	Description	Data Type / Domain	Requirement
8	Effective Date	All	Start date for calculation/cash flows (Start/Effective Date).	Date (YYYY-MM-DD)	Required
9	Maturity Date	All	Contract settlement/termination date (Maturity Date).	Date (YYYY-MM-DD)	Required
10	Settlement Method	All	Financial or contractual settlement method.	Numeric (Enum): 1=Bilateral Cash Settlement 2=Physical Delivery 3=Cash Settlement via Central Counterparty	Required
11	Buy/Sell	All	Transaction direction for the holder (Buy or Sell).	Numeric (Enum): 1=Buy 2=Sell	Required
12	Settlement Currency	All	Actual financial settlement currency.	Alphanumeric (ISO 4217 Code)	Required
13	Reporting Party Identification	All	Registration identifier (CNPJ or LEI) of the holder institution.	CNPJ (14 digits) or LEI (20 characters)	Required
14	Reporting Party Name / Corporate Name	All	Full legal name of the domestic holder entity.	Alphanumeric	Required
15	Reporting Party Country of Origin	All	Tax domicile country of the reporting party.	Alphanumeric (ISO 3166-1 Alpha-2 Code)	Required
16	Reporting Party E-Mail	All	Holder contact e-mail.	Alphanumeric	Optional



No.	Field	Transaction Type	Description	Data Type / Domain	Requirement
17	Identified Counterparty (Y/N)	All	Indicates whether the foreign counterparty will be identified in the registration.	Boolean: 1=Yes 0=No	Required
18	Counterparty Identification	All	International identifier (LEI or ID) of the counterparty.	LEI (20 characters) or equivalent ID	Conditional (Field 17 = 1)
19	Affiliate Counterparty	All	Indicates whether the counterparty belongs to the same economic group.	Boolean: 1=Yes 0=No	Conditional (Field 17 = 1)
20	Counterparty Name / Corporate Name	All	Full legal name of the foreign counterparty.	Alphanumeric	Conditional (Field 17 = 1)
21	Counterparty Country of Origin	All	Counterparty tax domicile country.	Alphanumeric (ISO 3166-1 Alpha-2 Code)	Conditional (Field 17 = 1)
22	Counterparty E-Mail	All	External counterparty contact e-mail.	Alphanumeric	Optional
23	Tax Party Identification	All	Registration identifier of the transaction tax holder.	CNPJ (14 digits)	Optional
24	Base Value (Notional)	Options, Forward	Reference notional amount for the contract cash flows.	Decimal	Conditional (Field 5 = 2 or 3)
25	Notional Currency	Options, Forward	Currency of the notional amount.	Alphanumeric (ISO 4217 Code)	Conditional (Field 5 = 2 or 3)



No.	Field	Transaction Type	Description	Data Type / Domain	Requirement
26	Underlying Asset	Options, Forward	Reference asset and listing venue.	Alphanumeric	Conditional (Field 5 = 2 or 3)
27	Reference Market	Options, Forward	Neutral and auditable price source adopted (e.g., CME, B3).	Alphanumeric	Conditional (Field 26 is not empty)
28	Underlying Asset Currency	Options, Forward	Pricing currency of the reference asset.	Alphanumeric (ISO 4217 Code)	Conditional (Field 26 is not empty)
29	Underlying Asset Maturity	Options, Forward	Maturity date of the reference asset.	Date (YYYY-MM-DD)	Conditional (Field 26 is not empty)
30	Operation Price / Rate	Options, Forward	Contracted unit cost, fixed rate, or spread.	Decimal	Conditional (Field 5 = 2 or 3)
31	Price Unit	Options, Forward	Unit of measure of the priced asset.	Alphanumeric	Conditional (Field 30 is populated)
32	Amortization Type	Options, Forward	Type of amortization schedule (Bullet, Linear, Customized).	Numeric (Enum): 1=Bullet 2=Linear 3=Customized	Conditional (Field 5 = 2 or 3)
33	Notional Value - Reporting Leg	Swap, NDF	Reference monetary amount associated with the reporting leg.	Decimal	Conditional (Field 5 = 1 or 4)
34	Currency - Reporting Leg	Swap, NDF	International currency code of the reporting leg.	Alphanumeric (ISO 4217 Code)	Conditional (Field 5 = 1 or 4)
35	Price/Rate - Reporting Leg	Swap, NDF	Outright rate or floating spread of the reporting leg.	Decimal	Conditional (Field 5 = 1 or 4)



No.	Field	Transaction Type	Description	Data Type / Domain	Requirement
36	Price/Rate Unit - Reporting Leg	Swap, NDF	Unit of measure of the priced reporting leg.	Alphanumeric	Conditional (Field 5 = 1 or 4)
37	Amortization Type - Reporting Leg	Swap, NDF	Type of amortization schedule of the reporting leg.	Numeric (Enum): 1=Bullet 2=Linear 3=Customized	Conditional (Field 5 = 1 or 4)
38	Regime Type - Reporting Leg	Swap, NDF	Fixed or floating rate type of the reporting leg.	Numeric (Enum): 1=Fixed 2=Floating	Conditional (Field 5 = 1 or 4)
39	Indexer - Reporting Leg	Swap, NDF	Index or reference rate of the reporting leg.	Alphanumeric	Conditional (Field 5 = 1 or 4)
40	Notional Value - Opposing/Exit Leg	Swap, NDF	Reference monetary amount associated with the opposite/exit leg.	Decimal	Conditional (Field 5 = 1 or 4)
41	Currency - Opposing/Exit Leg	Swap, NDF	International currency code of the opposite/exit leg.	Alphanumeric (ISO 4217 Code)	Conditional (Field 5 = 1 or 4)
42	Rate/Spread - Opposing/Exit Leg	Swap, NDF	Outright rate or floating spread of the opposite/exit leg.	Decimal	Conditional (Field 5 = 1 or 4)
43	Rate/Spread Unit - Opposing Leg	Swap, NDF	Unit of measure of the priced opposite/exit leg.	Alphanumeric	Conditional (Field 5 = 1 or 4)
44	Amortization Type - Opposing Leg	Swap, NDF	Type of amortization schedule of the opposite/exit leg.	Numeric (Enum): 1=Bullet 2=Linear 3=Customized	Conditional (Field 5 = 1 or 4)



No.	Field	Transaction Type	Description	Data Type / Domain	Requirement
45	Regime Type - Opposing/Exit Leg	Swap, NDF	Fixed or floating rate type of the opposite/exit leg.	Numeric (Enum): 1=Fixed 2=Floating	Conditional (Field 5 = 1 or 4)
46	Indexer - Opposing/Exit Leg	Swap, NDF	Index or reference rate of the opposite/exit leg.	Alphanumeric	Conditional (Field 5 = 1 or 4)
47	Option Type	Options	Nature of the right (Call or Put).	Numeric (Enum): 1=Buy (Call) 2=Sell (Put)	Conditional (Field 5 = 2)
48	Option Style / Exercise Style	Options	Exercise style (American, European, Asian).	Numeric (Enum): 1=American 2=European 3=Asian	Conditional (Field 5 = 2)
49	Strike Price	Options	Exercise price stipulated for the asset (Strike).	Decimal	Conditional (Field 5 = 2)
50	Knock In Structure	Options	Type of knock-in barrier structure.	Numeric (Enum): 2=UP-AND-IN 4=DOWN-AND-IN 5=N/A	Conditional (Field 5 = 2)
51	Knock-In Barrier	Options	Activation barrier value (Knock-in).	Decimal	Conditional (Field 5 = 2 and Field 50 ≠ 5)
52	Knock Out Structure	Options	Type of knock-out barrier structure.	Numeric (Enum): 1=UP-AND-OUT 3=DOWN-AND-OUT 5=N/A	Conditional (Field 5 = 2)
53	Knock-Out Barrier	Options	Deactivation barrier value (Knock-out).	Decimal	Conditional (Field 5 = 2 and Field 52 ≠ 5)



No.	Field	Transaction Type	Description	Data Type / Domain	Requirement
54	Bilateral Margin Exchange	All	Applicability of margin calls between the parties.	Boolean: 1=Yes 0=No	Required
55	Margin Depositor	All	Indicates which party posts margin.	Enum: 1=Party 2=Counterparty 3=Both	Conditional (Field 54 = 1)
56	Type of Margin Required	All	Collateralization arrangement structured in the contract.	Numeric (Enum): 1=Variation Margin (VM) 2=Initial and Variation Margin (IM+VM) 3=Exempt	Conditional (Field 54 = 1)
57	Eligible Collateral Type	All	Assets accepted for margin calls.	Numeric (Enum): 1=Cash 2=Sovereign Securities 3=Other	Conditional (Field 54 = 1)
58	Revaluation Frequency	All	Agreed frequency for mark-to-market revaluation.	Numeric (Enum): 1=Daily 2=Weekly 3=Monthly 4=Other	Conditional (Field 54 = 1)
59	Exemption Limit (Threshold) - Party	All	Minimum exposure for a mandatory margin call (Party).	Decimal	Conditional (Field 55 = 1 or 3)
60	Threshold Currency - Party	All	Currency of the party threshold.	Alphanumeric (ISO 4217 Code)	Conditional (Field 59 is not empty)
61	Exemption Limit (Threshold) - Counterparty	All	Minimum exposure for a mandatory margin call (Counterparty).	Decimal	Conditional (Field 55 = 2 or 3)



No.	Field	Transaction Type	Description	Data Type / Domain	Requirement
62	Threshold Currency - Counterparty	All	Currency of the counterparty threshold.	Alphanumeric (ISO 4217 Code)	Conditional (Field 61 is not empty)
63	Paid Transactional Fee/Rate	All	Upfront structuring fees paid.	Decimal	Optional
64	Transactional Fee/Rate Currency	All	ISO currency code of the transaction fee/charge.	Alphanumeric (ISO 4217 Code)	Conditional (Field 63 is not empty)
65	Operation Purpose	All	Macroeconomic purpose of the transaction (e.g., Hedge, Speculation).	Numeric (Enum): 1=Hedge 2=Arbitrage 3=Speculation	Required
66	Additional Information	All	Free text for customized clauses or supporting notes.	Alphanumeric: 4,000 characters	Optional
67	Assignment Price/Rate	All	Additional price/fee charged as a result of the assignment.	Decimal	Conditional (Field 2 = 4)
68	Amortization Date	All	Date on which the amortization was negotiated.	Date (YYYY-MM-DD)	Conditional (Field 2 = 5)
69	Amortized Notional Value	All	Reference amount associated with the amortization performed.	Decimal	Conditional (Field 2 = 5)
70	Amortization Price/Rate	All	Unit price or net financial amount agreed to settle the amortized portion.	Decimal	Conditional (Field 2 = 5 and Field 4 = 2)



Version Updates

Version	Issue/Update	Update
1.0	04/05/2026	First version of the Operational Guide.
1.1	21/08/2026	Included Assignment and Amortization operations, and adjusted registry fields.