DCV

Business continuity management system

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Corporate governance

Board of Directors

Risk Management

IT Committee

Audit and Risk Committee

Risk

Information Security

Business Continuity

Regulatory Risk

Compliance

Organizational and functional structure

Continuity activation plans

Crisis management and recovery before disasters

Incident managers

Process owners

Operational Emergency Committee

IT, individuals and facilities

Spokesperson

Crisis Management Committee (CMC)

Office Recovery Committee (CRI)

People Support Committee (CAP)

ICT Recovery Committee (CRT)

Strategic Communications Committee (CCE)

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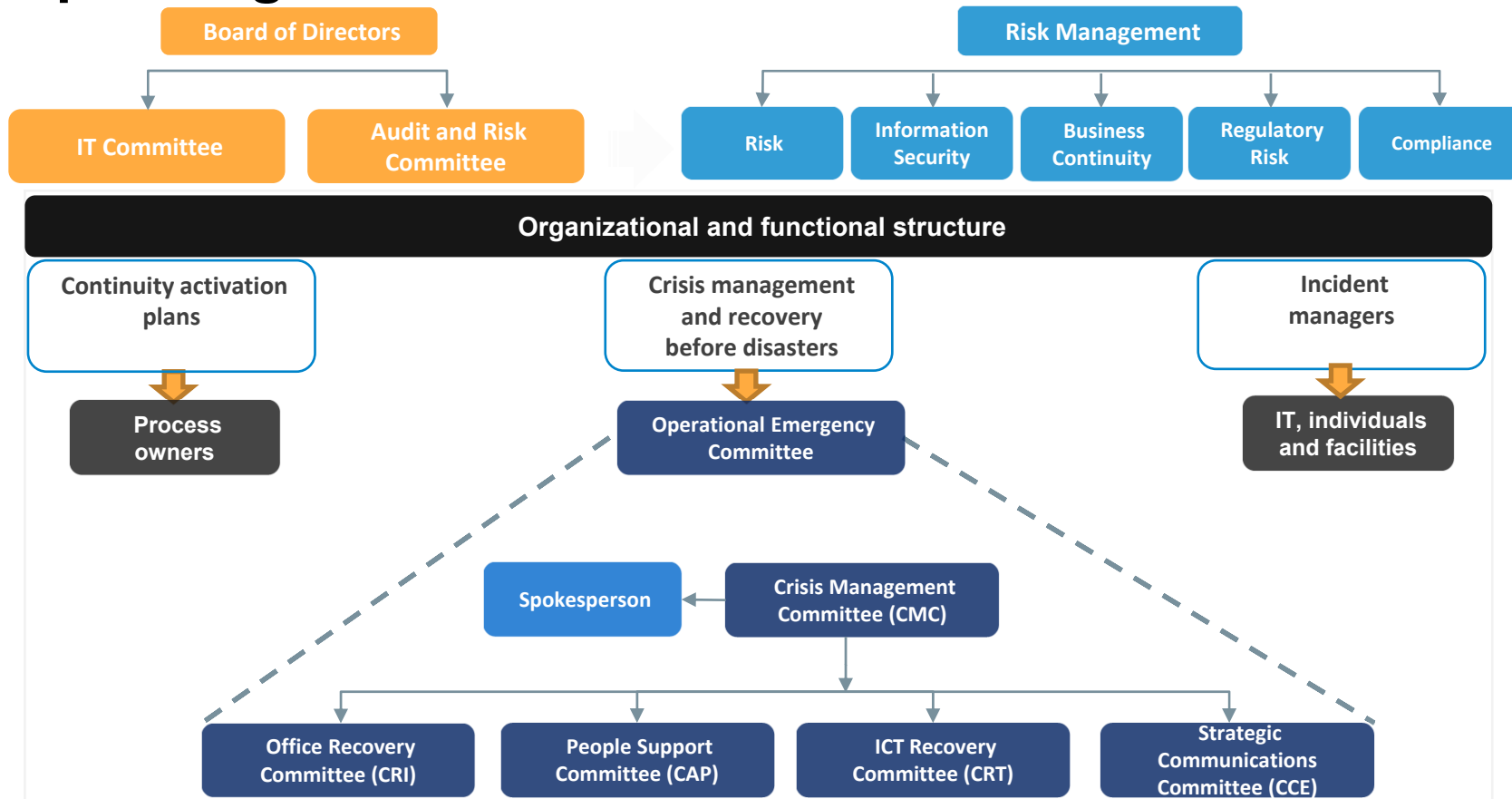
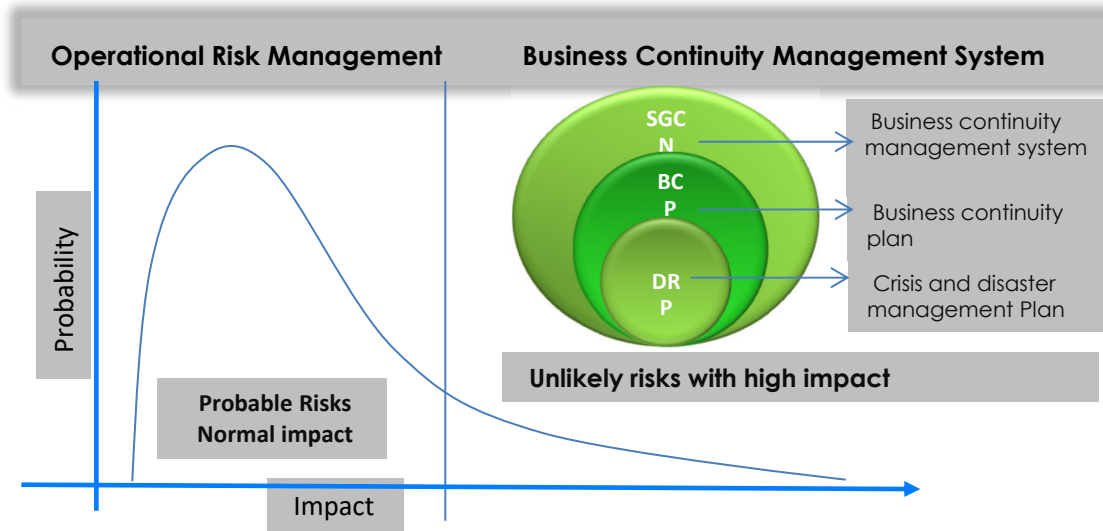# Objectives and guidelines

Objectives

- Guarantee the availability of critical processes and compliance with the regulations.

- Provide guidelines of the roles and responsibilities for business continuity management.

- Recover critical services, safeguarding the protection and safety of individuals.

- Safeguard the security of all the people who are at DCV's offices.
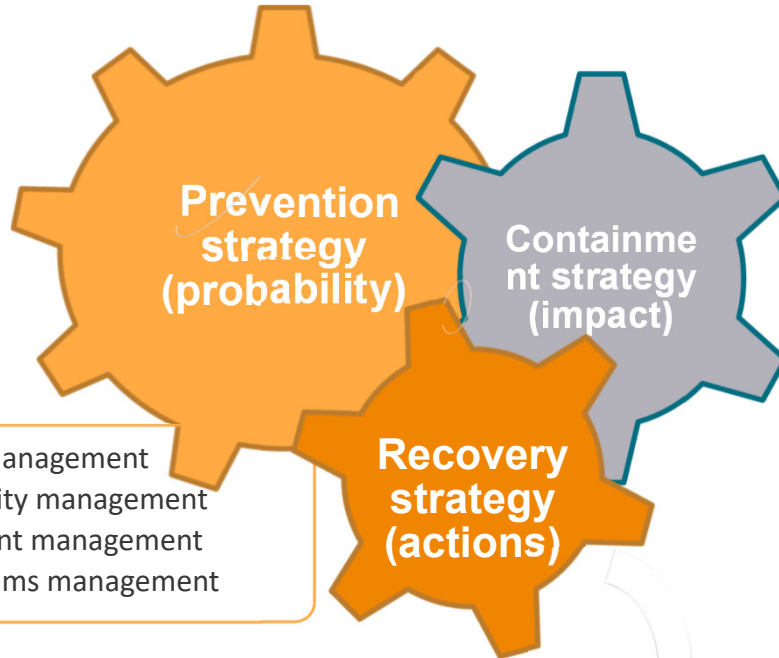
Principal guidelines

- Operational continuity is a strategic axis defined by DCV for the development and provision of its services.

- Align with the requirements of current regulations, and under the guiding framework of best practices, ISO 22301 standard.

- Continuity matters must be incorporated into DCV's culture.

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Vision

- Our commitment to the Securities Market is: "**To be the last component of the financial system that stops operating and the first one to recover"**, regardless of the incident or disaster.

- Protect the life and physical integrity of **collaborators** and individuals who are present in the Company's premises, at the time of the occurrence of an adverse event.

Operational Risk Management   **Business Continuity Management System**

Probability

SGCN — Business continuity management system

BCP — Business continuity plan

DRP — Crisis and disaster management Plan

Probable Risks Normal impact

Unlikely risks with high impact

Impact

Continuity strategies

Prevention strategy (probability)

Containment strategy (impact)

Recovery strategy (actions)

- **Operational aspects**
  - Individuals. Every key role is duplicated.
  - Facilities. Alternative management site.

- **Technological aspects**
  - Every critical component is duplicated.
  - Distributed production sites.
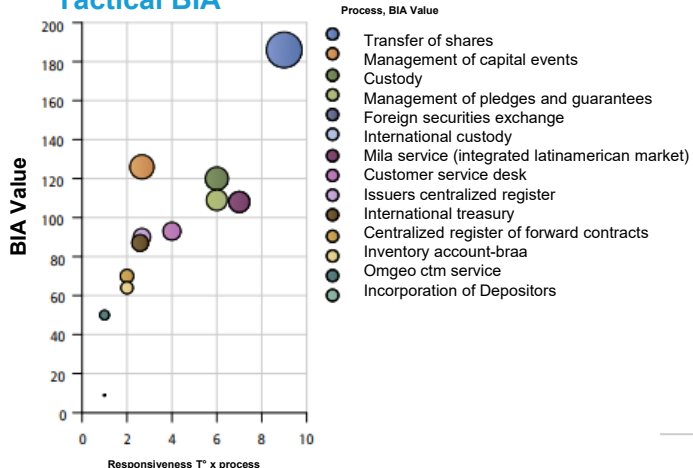
- Risk management
- Capacity management
- Incident management
- Problems management

- **Based on the time objectives of RTO of each critical service.**
- Continuity procedures
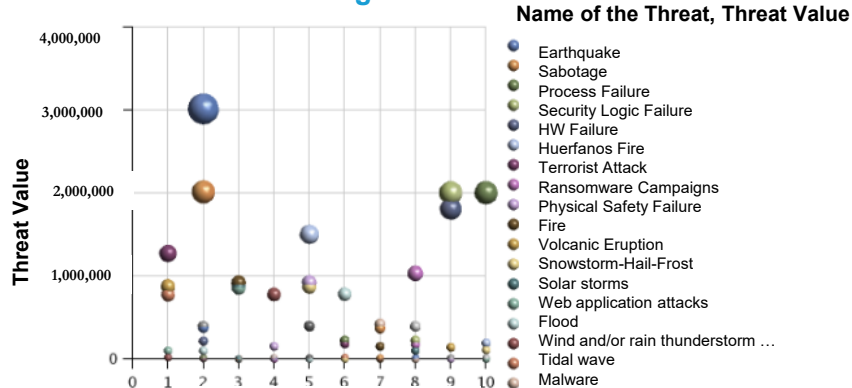- Disaster recovery and crisis management plan
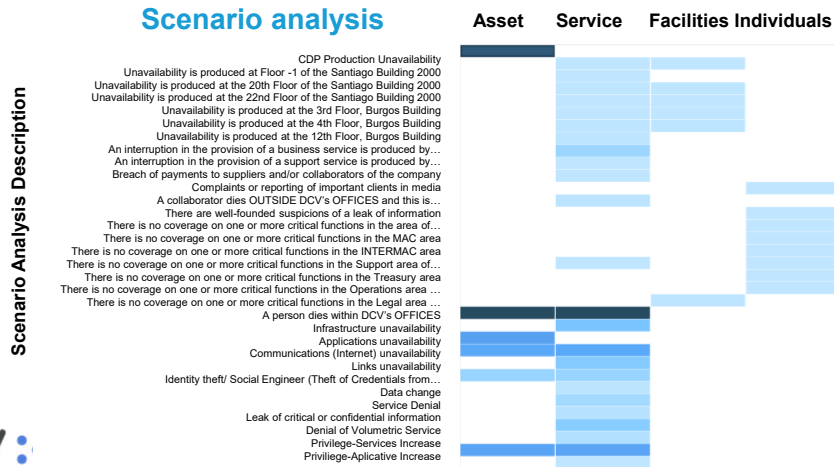
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Summary of BIA and RIA

Strategic BIA

- Registration and settlement of operations
- Securities Custody operations
- Document administration
- International custody services
- Centralized Registration Service of Forward Contracts
- Depositors customer service
- Braa services
- Other services

Tactical BIA

Process, BIA Value

- Transfer of shares
- Management of capital events
- Custody
- Management of pledges and guarantees
- Foreign securities exchange
- International custody
- Mila service (integrated latinamerican market)
- Customer service desk
- Issuers centralized register
- International treasury
- Centralized register of forward contracts
- Inventory account-braa
- Omgeo ctm service
- Incorporation of Depositors

Threat ranking

Name of the Threat, Threat Value

- Earthquake
- Sabotage
- Process Failure
- Security Logic Failure
- HW Failure
- Huerfanos Fire
- Terrorist Attack
- Ransomware Campaigns
- Physical Safety Failure
- Fire
- Volcanic Eruption
- Snowstorm-Hail-Frost
- Solar storms
- Web application attacks
- Flood
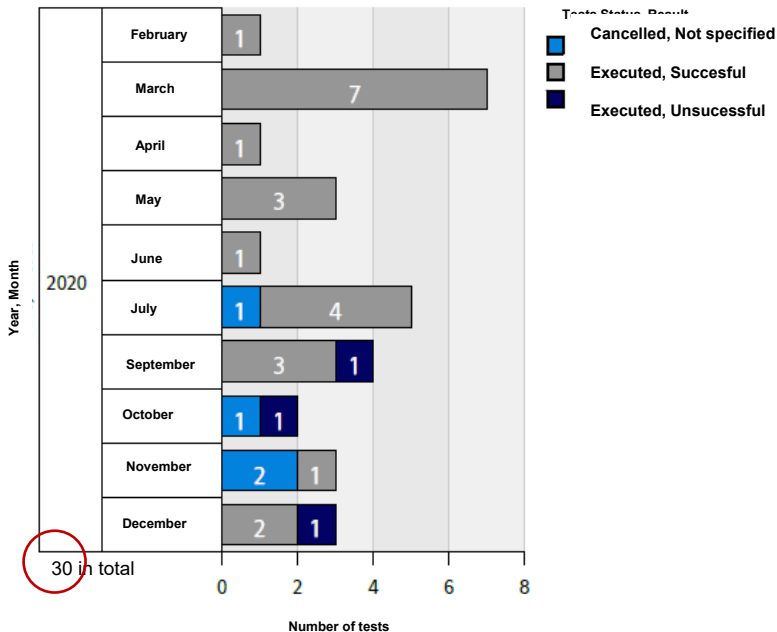- Wind and/or rain thunderstorm …
- Tidal wave
- Malware

Scenario analysis

Test and exercise program

Plan evolution

Tests and exercises evolution

Data updated to December 2020.

100% compliance

Management of tests and exercises

Total executed as of December (26).
 Last tests executed (3)
1. Datacenter rotation. Change of site No. 5.
2. Swift Test No. 2 with Combanc.
3. SRAD Connectivity.

Total cancelled (4).
1. Alternative communications radio transmitters (July).
2. Alternative communications radio transmitters (November).
3. Evacuation drill, Burgos (October).
4. Evacuation drill, NTSM (November).

Total with unsuccessful result (3).
1. Datacenter rotation. Change of site No. 4.
2. Swift Test No. 1 with Combanc.
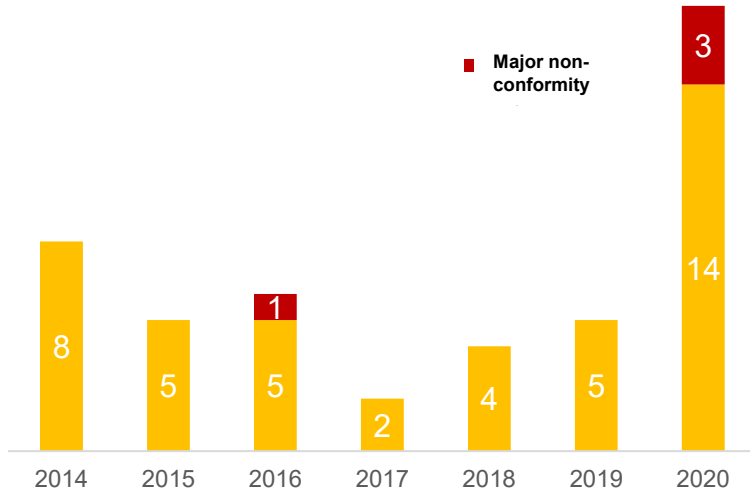3. Swift Test No. 2 with Combanc.

Important exercises
1. Rotations of Data Centers.
2. Operation in alternative offices.
3. Operation with backup personnel.
4. Crisis management exercise.
5. Disaster production site activation.
6. Backup recoveries.
7. Alternative communications.
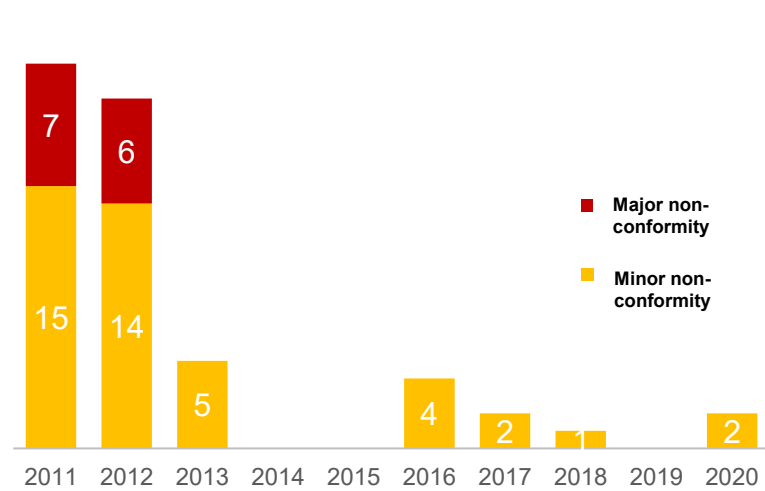
ISO 22301 certification process

Internal audit / Certification audit

Beginning of the Certification Process	BS 25999 Certification	ISO 22301 Upgrade Certification	ISO 22301 Upgrade Certification	Re-Certification ISO 22301	Maintenance Certification	Maintenance Certification	Re-Certification	Internal audit	Follow-up audit ISO 22301 certification
April 2011	October 2013	May 2014	October 2015	August 2016	September 2017	August 2018	July 2019…	August 2020	Sept 2020	Sept 2021

Evolution of the internal audit results.

- ■ **Major non-conformity**

Year	Value
2014	8
2015	5
2016	5 (+1 major)
2017	2
2018	4
2019	5
2020	14 (+3 major)

Evolution of the results of the BSI certification audit

- ■ **Major non-conformity**
- ■ **Minor non-conformity**

Year	Minor	Major
2011	15	7
2012	14	6
2013	5	
2014		
2015		
2016	4	
2017	2	
2018		
2019		
2020	2	

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Business continuity management system

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