MANUAL FOR THE **ASSIGNMENT PROCEDURE**

Licensing Rounds Promotion
Superintendence – SPL

Contract Assignment Division

RIO DE JANEIRO

2026

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anp
Agência Nacional
do Petróleo,
Gás Natural e Biocombustíveis

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CHAPTER 1

ASSIGNMENT PROCEDURE

1. INTRODUCTION

Assignment is the transfer, in whole or in part and by any means, of the ownership of the rights and obligations of the E&P contract, including as a result of the execution of a guarantee on rights arising from the E&P contract, as well as the performance of an act or the execution and entry into force of a contract that has as its object the influence of third parties who are not part of the E&P contract, in its management or operation.

This manual, provided for in ANP Resolution No. 1,010, of November 6, 2026, aggregates the main rules contained in the applicable legislation and in the concession agreement regarding the assignment of E&P contracts, the change of concessionaire/contractor[1] resulting from merger, spin-off and incorporation; the change of operator; and the replacement or exemption of performance guarantee and aims to detail the procedure adopted in the assignment processes and provide the necessary guidelines for the correct procedural instruction and for the petition in the Electronic Information System – SEI.

The Assignment Procedure Manual is being continuously improved and is updated whenever necessary to adapt to changes in the applicable legislation or to make the information clearer and more objective.

Together with the Manual of the Assignment Procedure on the website https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/gestao-de-contratos-de-e-p/cessao-de-contratos/procedimento are the models of documents required in the process.

We recommend that all those interested in the assignment process carefully read this manual and ANP Resolution No. 1,010/2026 prior to filing the request, as well as using the updated document templates.

Any questions about the assignment process should be sent to the email rodadas@anp.gov.br. After the beginning of the process, information will only be provided to the accredited representatives of the interested parties, since the level of access to the content of the assignment process is restricted until the final decision of ANP.

2. LEGAL FRAMEWORK

Pursuant to arts. 25 and 29 of Law No. 9,478/1997 and article 31 of Law No. 12,351/2010, the assignment, in whole or in part, of E&P contracts is permitted, provided that: (i) the object and contractual conditions are preserved; (ii) the assignee meets the technical, economic and legal requirements established by ANP and (iii) there is prior and express authorization from ANP, in the case of concession contracts, or from the Federal Government, in the case of production sharing contracts.

[1]The concessionaire is understood to be the signatory of the concession contract and the contractor is the signatory of the production sharing contract.

The E&P contracts define, in the clause referring to the assignment of the contract, the conditions to be met by the assignors, assignees and eventual consortium members, as well as the sanctions for the case of assignment without prior authorization from ANP (de facto assignment).

The assignment process, thus considered the administrative process intended to analyze the request and authorize the assignment of an E&P contract; the change of concessionaire/contractor resulting from a merger, spin-off and incorporation; the change of operator; and the replacement or exemption of a performance guarantee, is subject to the rules of ANP Resolution No. 1,010/2026.

Within the scope of ANP, according to article 108-A of ANP's Internal Regulations, it is incumbent upon the Licensing Rounds Promotion Superintendence – SPL to coordinate the process of assignment of contracts, in addition to proposing the requirements and qualifying the companies that participate in processes of assignment of contracts.

It is incumbent upon ANP organizational units that act in the assignment process, under the coordination of SPL and in accordance with ANP Normative Instruction No. 25/2026, to evaluate requests for assignment of E&P contracts, change of concessionaire/contractor resulting from merger, spin-off and incorporation, change of operator and replacement or exemption from performance guarantee and recommend to ANP Collegiate Board of Directors its approval or denial.

3. ASSIGNMENT PROCESS

Only the following may apply for authorization referred to in this manual:

a) the assignor, in cases of assignment, merger, spin-off and incorporation;

b) the operator, in case of a change of operator;

c) the guaranteed, in case of replacement or exemption from performance guarantee; e

d) the creditor, in cases of execution of a guarantee on the rights arising from the E&P contract.

The process must be initiated through a specific request, directed to SPL, responsible for the instruction of the assignment process, through SEI, where the requests are processed.

Requests involving more than one contract may be brought together in a single proceeding if the parties (assignor, assignee and eventual consortium members) are identical.

Requests whose contracts do not have the identity of parties (assignor, assignee and eventual consortium members) or that have some specificity that justifies the separation will be processed in different processes due to this specificity or so that confidentiality is maintained.

The joint submission of applications for several processes does not guarantee that their analysis, approvals and signatures of amendments will occur at the same time. If the applicant is interested in the requests being analyzed, approved and the amendment signed at the same time, it must expressly request.

The authorization for the assignment does not transfer the ownership of the contract, which will only occur with the signing of the respective amendment.

According to article 4, paragraph 2, of ANP Resolution No. 1,010/2026, an application will not be admitted when the applicant subjects it to any condition (e.g., the dollar or a barrel of oil reaches a certain value, the end of the exploration campaign, the obtaining of environmental licensing, the execution of contracts between private parties, etc.).

The level of access to the content of the assignment process is restricted until the final decision of ANP, pursuant to article 5, paragraph 2, of Decree No. 7,724/2012.

3.1 Procedure

The process is initiated at the request of the interested party, by electronic petition in SEI (see Chapter II of this manual). The analysis will only be initiated after the presentation of all the documents provided for in this manual. If the absence of a document is identified, the interested party will be notified to complete the documentation within 30 (thirty) days, under penalty of archiving the process.

From the presentation of the complete documentation, the analysis of the request by ANP's technical areas begins on (i) the compliance of the documents with the provisions of the applicable legislation; and (ii) the fulfillment, by the interested parties, of the obligations before ANP and the Federal Government.

The organizational units that act in the assignment process are the following:

- Licensing Rounds Promotion Superintendence (SPL) – expresses its opinion on the technical, legal and economic-financial qualification; proof of the tax and labor regularity of the assignees; and the conformity of the documents presented.
- Superintendence of Exploration (SEP) – expresses its opinion on the exploration activities arising from the contract that is the object of the request.
- Superintendence of Development and Production (SDP) – expresses its opinion on the development and production activities arising from the contract that is the object of the request.
- Superintendence of Government Participations (SPG) – expresses its opinion on the payment of government and third-party revenues and participations by the companies involved in the request.

- Superintendence of Technical Data (SDT) – expresses its opinion on the compliance of digital data from wells and geophysical surveys, arising from the execution of the contract object of the request.
- Superintendence of Operational Safety (OHS) – expresses its opinion on the relevant aspects related to the management of the operational safety of the E&P facilities that are part of the contract area object of the order and to the programs and reports of decommissioning of the facilities in the production phase.
- Superintendence for the Defense of Competition (SDC) – expresses its opinion on the competition issues involved in the request.
- Center for the Inspection of the Measurement of Oil and Natural Gas Production (CFP) - expresses its opinion on the measurement of the existing oil and natural gas production facilities in the area of the contract object of the request.

The deadline for issuing statements, counted from the receipt by the technical areas of the request for analysis, is 15 (fifteen) days, if there is no change of operator, or 30 (thirty) days, if there is a change of operator. The deadline for analysis of the qualification is 15 (fifteen) business days, extendable for up to an equal period, counted from the date of delivery of the complete documentation.

After the issuance of all technical statements, a meeting[2] of all the organizational units involved is called, within a period of no less than two business days, to issue a joint statement recommending to the Collegiate Board of Directors the approval or denial of the request.

Then, the process is forwarded for legal analysis by ANP Attorney General's Office. After issuing the legal opinion, the request goes to ANP Collegiate Board for deliberation, whose decision is formalized in a Board Decision, published on the www.gov.br/anp website.

Applications will only be approved if:

a) compliance with the technical, financial and legal requirements established by ANP;

b) preserving the object and other contractual conditions;

c) in compliance with the provisions of article 88 of Law No. 12,529/2011, if applicable;

d) the obligations of the E&P contract that is the subject of the request are being fulfilled;

e) the obligations related to any activities of Decommissioning of Facilities are defined in accordance with the Applicable Legislation; e

f) assignor and assignee, or the guaranteed party, in cases of exemption or replacement of performance guarantee, are in compliance with all their obligations related to

[2] The meeting may be waived if (i) all technical manifestations are conclusive about the absence of an obstacle to the approval of the request; and (ii) there is consent from all organizational units on the waiver of the meeting, formalized in an order signed by at least one representative of each organizational unit and which contains the consolidation of the recommendations contained in the technical manifestations, including the conditions.

government and third-party interests before all E&P contracts to which they are parties.

ANP may impose conditions for signing the amendment or determine compliance with requirements after signing to ensure compliance with the applicable legislation and best practices in the oil industry and compliance with contractual or regulatory obligations.

With the approval of the request for assignment of an E&P contract by means of a Board Decision[3], the interested parties will be urged to prepare an amendment to the contract, which must be signed by all parties within thirty (30) days, counted from the notification of the approval or the fulfillment of the condition imposed by the decision.

Delay in complying with the conditions will result in a delay in signing the amendment until its compliance is attested by the responsible organizational unit.

The validity and effectiveness of the amendment begin on the date of its signature by all those who enter into it, except in the cases provided for in ANP Resolution No. 1,010/2026.

To publicize the amendment, ANP will arrange for the publication of its extract in the Official Gazette of the Federal Government.

In the case of a consortium, the consortium agreement (or its amendment) filed with the competent Commercial Registry must be submitted within forty-five (45) days after the signing of the amendment, as defined in the E&P agreement.

During the processing of the process and the analysis of the documents, ANP may notify the interested legal entities to remedy identified non-conformities or to present additional documentation and clarifications within thirty (30) days, unless another period is not granted, under penalty of archiving the process.

In the event of assignment of a concession contract, after the presentation by the concessionaire of the complete documentation and as established in this manual, ANP will have ninety (90) days to express its opinion on the approval or denial of the request.

In the event of assignment of a production sharing agreement, after the presentation by the contractor of the complete documentation and as established in this manual, ANP will have ninety (90) days to submit a recommendation to the Ministry of Mines and Energy, which will express its opinion on the request within sixty (60) days.

3.2 Qualification

The following legal entities must submit to qualification, regardless of whether they already hold the position of concessionaires/contractors in the respective contract or have already obtained qualification in a previous bidding or assignment process:

[3] In the event of a production sharing agreement, ANP Collegiate Board will issue a recommendation and the request will be forwarded for approval by the Ministry of Mines and Energy.

a) the assignees, in cases of assignment;

b) the new concessionaire/contractor resulting from a merger, spin-off and incorporation;

c) the new operator, in cases of change of operator; e

d) the guaranteed concessionaire/contractor, in cases of replacement or exemption from performance guarantee.

Interested parties will be qualified as operators or non-operators and classified in the following levels, according to criteria established in the bidding documents:

a) operator A+ - qualified to operate in blocks located in areas located within the pre-salt polygon and strategic areas, as defined by the National Energy Policy Council (CNPE), for contracts signed under the production sharing regime;

b) operator A – qualified to operate in blocks located in ultra-deepwater, deepwater, shallow waters, onshore and in areas with marginal accumulations;

c) operator B – qualified to operate in blocks located in shallow waters, onshore and in areas with marginal accumulations;

d) C+ operator - qualified to operate on blocks located onshore, in remote and non-remote areas and in areas with marginal accumulations

e) operator C – qualified to operate in blocks located on land and in areas with marginal accumulations;

f) operator D – qualified to operate only in areas with marginal accumulations; or

g) Non-operator – it can only be a concessionaire/contracted in a consortium with another operating legal entity.

The qualification of legal entities is carried out by SPL based on the rules of the bidding protocol most recently approved by Collegiate Board of ANP prior to the filing of the request.

The most recently approved tender protocols by ANP Collegiate Board, available at https://www.gov.br/anp/pt-br/rodadas-anp/ , are:

a) **Tender Protocol for the Open Acreage - Concession**, when the assignment relates to concession contracts for onshore or offshore blocks for exploration and production of oil and natural gas and inactive areas with marginal accumulations;

b) **Tender Protocol for the Open Acreage - Sharing**, when the assignment relates to production sharing contracts.

Contracts arising from bidding rounds whose tender protocol contains a requirement for qualification due to the specificity of the block or area are treated as an exception, provided that such specificity remains present at the time of the request and the adoption of the special rule is still justified, at the discretion of ANP.

Legal entities interested in the assignment process should be aware of the rules of the aforementioned tender protocols, as the case may be, notably the details of the documents, the qualification criteria, summarized in this manual, and the form of presentation of documents.

The qualification comprises the analysis of documentation to prove legal, tax and labor regularity, economic and financial capacity and technical capacity.

The assignee is responsible for maintaining its tax and labor regularity, which will be proven through the analysis of the following documents, to be obtained by ANP during the process through access to the databases of the public agencies responsible for their issuance:

a) proof of registration with the CNPJ;

b) Debt Clearance Certificate or Certificate of Suspended Debt related to Federal Taxes and to Active Debt of the Federal Government, by the Office of the General Counsel for the Federal Treasury (PGFN), covering all federal tax credits managed by the Brazilian IRS and PGFN;

c) Certificate of FGTS Compliance (CRF);

d) Debt Clearance Certificate or Certificate of Suspended Debt issued by the Labor Court.

ANP will classify legal entities at the highest possible level of qualification, according to the analysis of the documentation presented.

If the interested party obtains a level of technical qualification different from the level of economic and financial qualification, the qualification of the lowest level will be considered.

The qualification will be completed by SPL within 15 (fifteen) business days, extendable for an equal period, counted from the date of delivery of the complete documentation, and its result will be communicated to the interested legal entities by means of an official letter.

3.3 Document usage

The legal entity submitted to the qualification interested in taking advantage of documents that have been submitted to ANP for the purposes of registration, expression of interest, qualification and signing of E&P contracts in bidding rounds or qualification in previous assignment processes, must submit an application, according to the model on the assignment of contracts page on ANP website.

Only the documents listed in the application form may be used, provided that they are within the validity period. Documents whose expiration dates are not expressed will only be used if they have been submitted to ANP up to one (1) year prior to the application, except for corporate acts, which may be used while in force, and documentation for economic and financial qualification.

The use of documents does not imply the approval of the qualification, and ANP may request clarifications and/or additional documents.

4. TYPES OF ACTS

4.1 Transfer of ownership of E&P contract

This is the assignment itself, in which the ownership of the E&P contract, in whole or in part, with its rights and obligations, is transferred to another legal entity, **without prejudice to the joint and several liability between assignor and assignee in relation to the acts performed before the assignment**.

The rules for assignment are applicable to the change of operator, as applicable.

The assignment may result in the dismemberment of the E&P contract when it covers more than one block and the result of the assignment process gives rise to different compositions or different operators in these blocks or the transfer results in the division of areas. In this case, a new contract under the same terms as the original must be signed, observing the same rules for signing the amendment.

The transfer of ownership of the E&P contract is only consummated with the signing of the amendment to the E&P contract.

4.2 Change of concessionaire/contractor resulting from merger, spin-off and incorporation

Although merger, spin-off and incorporation of a concessionaire/contractor are not exactly an assignment, the assumption of the contractual position by another legal entity depends on prior and express authorization from ANP, issued in the context of an assignment process.

When the transfer of assets, including the E&P agreement, occurs at the time of consummation of the corporate reorganization, the interested party may choose two procedures:

a) If the legal entity that will receive the assets is not incorporated or depends on the transfer to obtain qualification, the procedure provided for in ANP Resolution No. 1,010/2026 provides for the issuance of an act of provisional authorization from ANP so that there is no de facto assignment.

   In this case, there is a preliminary phase in the assignment process, with the submission of the request describing, in summary, the intended corporate reorganization and how the assignee will meet the qualification requirements. The request is forwarded for legal analysis by ANP Attorney General's Office and for deliberation by the Collegiate Board of Directors.

Once the approval act is issued, the process will be suspended for 180 (one hundred and eighty) days for the consummation of the corporate reorganization, filing of the corporate acts with the Commercial Registry and presentation of the documents required for the assignment process. Once the documents are filed, the assignment process will follow its normal procedure.

b) When the interested party already constituted does not depend on the transfer of the assets of the merged or spun-off company to obtain its qualification, it may:

b.1) opt for the procedure described in item "a" above; or

b.2) initiate the assignment process with all the documents required for the assignment, without the need for provisional authorization and discontinuance. The assignment process will follow its normal procedure, but **the consummation of the corporate reorganization with the transfer of assets can only occur after authorization from ANP**.

4.3 Exemption or replacement of performance guarantee

The replacement of the performance guarantee is mandatory whenever, in an E&P contract (guaranteed by a performance guarantee), the corporate change of a concessionaire/contractor implies a breach of the corporate control relationship between guarantor and the guaranteed party.

Exemption from the performance guarantee may be requested when the reasons that determined its presentation do not exist, provided that the contract to which the guarantee is linked has been held by the guaranteed for at least two years.

ANP Resolution No. 1,010/2026 does not establish the criteria and parameters for the presentation of the performance guarantee, and it is up to the bidding documents to do so, according to article 20.

According to the most recent bidding documents, the performance guarantee will be required from the concessionaire/contractor, exclusively as operator, when it does not prove its own experience in E&P activities, technically qualifying itself by the experience of its corporate group.

In the context of an assignment proceeding that has as its object the assignment of an E&P contract guaranteed by a performance guarantee, the withdrawing assignor must indicate its interest in the return of the guarantee in the Application for Authorization for Assignment.

4.4 Guarantees on rights arising from E&P contracts

The regulation of the constitution and execution of guarantees on the rights arising from E&P contracts is contained in ANP Resolution No. 1,010/2026 and aims to avoid the configuration of the de facto assignment.

The **constitution** of the guarantee on the rights arising from the E&P contract does not constitute an assignment and does not depend on authorization from ANP, however, it must be notified within thirty (30) days, and it is necessary to provide proof of communication to any consortium members about the constitution of the encumbrance.

The instrument may not contain clauses that constitute a de facto assignment, that is, that transfer the ownership of the E&P contract before the execution of the amendment, that allow the creditor's influence over the management or operation of the E&P contract or that restrict the exercise of the concessionaire's or contractor's voting rights in relation to the management or operation of the E&P contract.

The constitution of the guarantee gives the creditor the right to monitor the execution of the E&P contract, in order to, if necessary, perform acts of credit protection and preservation of the guarantee.

In the event of **enforcement** of the guarantee, it is incumbent upon the creditor institution to notify ANP within five (5) days, counted from the first enforceable act, and to present, within thirty (30) days, proof of communication to any consortium members.

The transfer of ownership of the E&P contract resulting from the execution of the guarantee constitutes an assignment and requires prior and express authorization from ANP obtained through an assignment process. ANP Resolution No. 1,010/2026 grants a period of 180 (one hundred and eighty) days for the creditor entity to file the assignment request accompanied by all the required documents, counted from the beginning of the execution. This period aims to enable the offer to the market of the rights of the E&P contract and implement the necessary actions for the presentation of an assignee to ANP.

Once the assignment process has been initiated, the concessionaire/debtor contractor will be notified to manifest itself, within fifteen (15) days, but the course of the process does not require its agreement and will follow the normal procedure, with some specificities.

The requirements necessary for the creditor to have standing to file the request for assignment and act on behalf of the debtor in all procedural acts, including the signing of the amendment, are:

a) contractual instrument that constitutes the guarantee containing a power of attorney clause or accompanied by a power of attorney;

b) document in which the agent unequivocally attests to the existence of the default of the concessionaire/debtor contractor and;

c) evidence of the agreement of the other consortium members, if any.

It must also be proven that the creditor implemented the entire procedure for execution provided for in the contract that constituted the guarantee. **Default will not be discussed in the assignment process**.

If the E&P contract subject to the guarantee is in the exploration phase and the debtor is the operator, the contract may be suspended at the request of the creditor, for a period of 180 (one hundred and eighty) days, the same period granted for the submission of the assignment request, so that there is no prejudice to the contractual performance. This period will be extended until the beginning of the effectiveness of the amendment, if the assignment request is submitted within the suspension period. After the period without submission of the assignment request, the contract will return to normal effect.

Due to legal and regulatory limitations, **it is not possible for the creditor entity to appoint a temporary operator to carry out the operations during the process**.

Until the signing of the amendment, the concessionaire/debtor contractor will remain responsible for the contractual obligations.

4.5 Change of corporate control

The change in the corporate control of the concessionaire/contractor or its departure from the corporate group to which it originally belonged must be notified to ANP within thirty (30) days, counted from the filing of the corporate act in the competent registry, from the annotation of the transfer of shares in the corporate books or, in the case of foreign companies, from the execution of the act in accordance with local legislation.

The notification must be made by means of an electronic petition at SEI, directed to the Licensing Rounds Promotion Superintendence – SPL, in accordance with the instructions in section 8 of Chapter II of this manual.

The notification must be accompanied by the following documents:

a) corporate acts or, in the case of a corporation, documents that reflect the change in corporate control;

b) organizational chart detailing the entire chain of control of the corporate group;

c) financial statements for the last fiscal year, accompanied by the independent auditors' report;

d) technical summary;

e) final decision approving the acquisition of control, issued by the Administrative Council for Economic Defense, pursuant to Law No. 12,529, of November 30, 2011, accompanied by the publication of the decision in the Federal Official Gazette, or justification for its non-submission; e

f) in the event of a change in direct corporate control, a declaration of non-compliance with the new parent company in the event of contractual termination provided for in article 34 of ANP Resolution No. 1,010/2026, pursuant to the model on ANP website.

The organizational chart, the financial statements, the independent auditor's opinion and the technical summary must be presented in accordance with the rules of the bidding protocol most recently approved by ANP prior to the filing of the notification.

The change in corporate control does not require authorization from ANP, which may request additional clarifications about the operation.

5. FORM OF PRESENTATION OF DOCUMENTS

The documents must be scanned **individually** and sent to ANP **in .pdf format** through the Electronic Information System - SEI at the electronic address https://sei.anp.gov.br/, in accordance with the instructions contained in the "SEI External User Manual", available on the https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei website and in Chapter II of this manual.

Documents uploaded to SEI in a format other than .pdf (except when so requested by ANP) and documents clustered in a single file will be considered non-conformities, and the interested party must reload the documents in the manner indicated above.

Without prejudice to the forwarding of digital files through SEI, the original copies of the following documents (**when physically signed by the parties**) must be sent to ANP Central Office or delivered to the protocol service, at the address shown in the table below:

a) performance guarantee – to the attention of the Licensing Rounds Promotion Superintendence (SPL);

b) financial guarantee of deactivation and abandonment – to the attention of the Superintendence of Development and Production (SDP);

c) financial guarantee of the Minimum Exploratory Program – to the attention of the Superintendence of Exploration (SEP).

The documents must be written in Portuguese, printed on A4 paper, without amendments, erasures, blots, stripes, additions or excerpts erased with corrective and identified by title on their first page.

All documents produced by interested legal entities must be dated, signed on the last sheet by the legal or accredited representative, with the signatory's legible name.

Only documents issued up to ninety (90) calendar days prior to their delivery will be accepted. This provision does not apply to corporate documents, documents of economic and financial qualification and those that have an express expiration date.

ANP may request any additional information or document that supports the analysis of the documentation of legal entities and take steps it deems necessary to clarify or complement the procedural instruction.

By virtue of article 9 of Decree No. 9,094/2017, within the scope of assignment proceedings, **the notarization of signature and authentication of a copy of documents issued in the country are waived**, except for the exceptions expressed in the decree.

If it is not possible to send the documents digitally, the interested party may send them to ANP Central Office or deliver them to the Agency's protocol service, to the attention of the Licensing Rounds Promotion Superintendence (SPL), from Monday to Friday, from 9 am to 6 pm, Brasília/DF time, at the following address:

National Agency of Petroleum, Natural Gas and Biofuels
Head Office
Attn: Licensing Rounds Promotion Superintendence - SPL
Avenida Rio Branco, nº 65, Térreo, Centro
Rio de Janeiro, RJ
Zip Code: 20090-004

5.1 Documents signed digitally (ICP-Brasil) or electronically (SEI)

In the assignment process, digitally signed documents will be accepted, in accordance with the regulations of the Brazilian Public Key Infrastructure – ICP-Brasil, provided that it is possible for ANP to assess the conformity of the signature(s) in the digital document itself. In this sense, interested parties must petition for the same file submitted and signed at the chosen institution, **after verifying the conformity of the digital signatures on the website of the National Institute of Information Technology - ITI (https://verificador.iti.gov.br/)**.

Interested parties must choose to adopt a single signature format, that is, all signatories sign digitally or all sign physically.

We recommend that you pay attention to the guidelines below for the presentation of the amendment and the performance guarantee, which may be digitally signed by the interested parties and ANP.

The amendment must be signed, **preferably**, electronically through SEI. In this case, all signatories, including witnesses, must have registered as an external user in SEI (information available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/orientacoes-para-realizacao-de-cadastro-de-usuario-externo). The term signed by SEI is considered original for all legal purposes.

The signing of the amendment will only occur after the approval of ANP, since the document must contain the information of the Board Decision through which the request is approved, and a procedure will be adopted that will be informed in due course by the SPL in the assignment process itself.

The performance guarantee may also be digitally signed and the petition must be made after verification of compliance with the signature of the guarantor's representative on the ITI website. Its acceptance is subject to its compliance, as recorded in the qualification report, and the signature of the amendment.

According to Provisional Measure No. 2,200-2, of 8/24/2001, which established the Brazilian Public Key Infrastructure - ICP-Brasil, and Decree No. 8,539, of October 8, 2015, documents digitally signed through the ICP-Brasil key system are considered originals for all legal purposes.

The compliance of the digital signatures will be verified by the SPL at the time of the petition of the document and, in the case of the amendment, at the time of its signature by the Director General of ANP. If the compliance report issued by the National Institute of Information Technology - ITI indicates any irregularity with a signature, the document must be resubmitted after this irregularity has been remedied. Therefore, interested parties should pay attention to the validity period of the digital signature of the amendment so that the certificate is not expired at the time of signature by the Director General of ANP.

5.2 Documents issued abroad and documents written in a foreign language

Documents issued abroad, in order to be effective in Brazil, must be notarized, legalized, and registered with the Registry of Deeds and Documents (RTD), as determined by arts. 129, 6, and 148 of Law No. 6,015/1973.

Documents written in a foreign language must be translated into Portuguese by a sworn translator and the translation, which must be done in Brazil, must be registered with the RTD.

If Brazil has a cooperation agreement with other countries or is a party to a treaty in which there is a provision for exemption from legalization of some or all of the documents provided for herein, the interested legal entity may request it, basing the request on the applicable legislation.

It should be noted that:

a) Notarization is the notarization of signatures, for original documents, or the authentication of copies, carried out in a notary's office.

b) Legalization is:

b.1) the Apostille, in case the document has been issued in a country that is a signatory to the Hague Apostille Convention; or

b.2) consularization, in case the document was issued in a country that is not a signatory to the Hague Apostille Convention.

c) Sworn translation is the translation of a certain document written in a foreign language by a public translator. The sworn translation must cover the entire text

written in a foreign language, including any inscriptions entered on the document by a local notary.

6. DOCUMENTS REQUIRED FOR THE ASSIGNMENT PROCESS

The concessionaire/contractor interested in the assignment process must submit to ANP the documents listed below.

Important: Documents marked with (*) must be submitted according to the templates on the assignment of contracts page, available on the website https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/gestao-de-contratos-de-e-p/cessao-de-contratos/procedimento.

6.1 Documents relating to the assignment

a) Application for authorization signed by the **applicant, assignee/new operator and other consortium members**[4], if any.*

b) Term of Assignment[5].*

Notes:

The Term of Assignment must be signed by the assignor, assignee, other consortium members and two witnesses.

c) Draft of the Addendum to the E&P Agreement.*

Notes:

The draft of the Amendment must be filled in with all the data requested in the document, except for those related to the Board Decision that approves the assignment or change of operator.

d) Draft Consortium Agreement (or Draft Amendment of Consortium Agreement, if applicable)

Notes:

[4] In the case of assignment of production sharing contracts, the Request must also be signed by Pré-Sal Petróleo S.A. (Empresa Brasileira de Administração de Petróleo e Gás Natural S.A.) – PPSA.

[5] Based on recent understandings of ANP's Attorney General's Office and the Legal Counsel of the Ministry of Mines and Energy, ANP and, in the case of assignment of a production sharing agreement, the Federal Government no longer act as consenting parties in the Term of Assignment. In addition, it is not necessary to sign PPSA in the Term of Assignment.

The draft of the Consortium Agreement or its amendment must contain the indication of the leading legal entity, responsible for the consortium and for conducting the operations, and ***the joint and several liability of the consortium members before ANP and the Federal Government, including in relation to the facts incurred before the execution of the Consortium Agreement*** *(or the Amendment of the Consortium Agreement, if applicable).*

The Consortium Agreement must cover only one E&P contract*. Thus, in case of assignment of more than one E&P contract, as many consortium contracts as the number of E&P contracts must be presented.*

e) Compliance with the provisions of article 88 of Law No. 12,529/2011, considering the amounts provided for in Interministerial Ordinance MJ/MF No. 994, of May 30, 2012, or another that may replace it, presenting the following document:

e.1) Final decision approving the acquisition of assets related to concession or production sharing agreements for exploration, development and production of oil and natural gas, issued by CADE, accompanied by the publication of the decision in the Federal Official Gazette[6]; or

e.2) Declaration of non-compliance with the hypotheses of articles 88 et seq. of Law No. 12,529/2011[7];* or

e.3) Declaration of Awareness of Pending Documents[8].

f) Declaration of Transfer of Operational Safety Information to Assignment Process(es) – Assignor[9];*

g) Declaration of Transfer of Operational Safety Information to Assignment Process(es) – Assignee[9];*

[6] In the case of a final decision by CADE's General Superintendence, also present the technical opinion that motivated the decision. In the case of a final decision by CADE's Administrative Tribunal for Economic Defense, also submit the report and the leading vote of the decision.

[7] Document applicable in the following cases:

(i) the annual gross revenue or turnover in the country of the assignor(s) and assignees(ies) does not fall within the hypotheses provided for in article 88 of Law No. 12,529/2011;
(ii) the purpose of the assignment process is the change of operator; e
(iii) the purpose of the assignment process is the exemption or replacement of the performance guarantee.

[8] Applicable when the transaction falls within the hypotheses of articles 88 et seq. of Law No. 12,529/2011 and the document described in 6.1.e.1 is not presented at the beginning of the process.

[9] Applicable only when the assignment implies a change in the operator of the contract. The statement provided for in item "f" must be signed by the assignor and the one provided for in item "g" must be signed by the assignee.

h) Statement on the Safety Management System for Assignment Process(es)[10].*

Note:

Use the specific template of the "Declaration on the Operational Safety Management System for Assignment Process(es)" for onshore or offshore fields, available on ANP website.

i) Timeline of the Transition Process[11].

Note:

The schedule must include, at least, the periods foreseen for the following stages of the process, if applicable:

i. Transition plan involving people, information and systems, including information regarding the absorption of the operation team of the old operator by the new operator, if applicable;

ii. Diagnosis of barriers and the management system (Gap analysis, if applicable);

iii. Estimated date for filing the new Operational Safety Documentation (DSO);

iv. Overlapping period of operation (operation by the old operator with monitoring by the new operator);

v. Assisted operation period (if applicable) - operation by the new operator with assistance by the old operator, if necessary.

j) If the assignor is responsible for the decommissioning of facilities, the following documents must be requested:

j.1) Document informing the facilities to be decommissioned by the assignor and those that will be used by the assignee (ANP Resolution No. 817/2020, art. 37);

j.2) Updated Facility Decommissioning Program (PDI) (ANP Resolution No. 817/2020, art. 38); e

j.3) Draft of the Term of Commitment between the assignor and ANP, with the assignee being an intervening party.

Note:

To prepare and present the draft of the decommissioning commitment term, follow the guidelines contained in section 12 of this manual.

[10] Document not required in the assignment of contracts in the exploration phase and applicable only when the assignment implies a change in the contract operator.

[11] Document not required in the assignment of contracts in the exploration phase and applicable only when the assignment implies a change in the contract operator.

k) If the contract to be assigned has an Agreement/Commitment for Individualization of Production (AIP/CIP) approved by ANP, the assignor and assignee must petition in the assignment process the draft of the amendment to the AIP/CIP, whose sole purpose will be the amendment of the parties to the previously formed agreement.

Note:

Such measure is necessary for the formalization of the change of the parties' respective shares in the production allocations previously signed, and does not preclude subsequent discussions among the new participants of the AIP/CIP regarding the interpretation of the shared deposit based on data obtained after the signing of the agreement.

l) Declaration of transfer of information on the oil and natural gas measurement system in the existing production facilities in the contract area subject to the assignment process (Assignor)[12].*

m) Declaration of transfer of information on the oil and natural gas measurement system in the production facilities existing in the contract area subject to the assignment process (Assignee)[12].*

n) Declaration on the oil and natural gas measurement system in the existing production facilities in the area of the contract subject to the assignment process (Assignee)[12].*

o) Declaration of the transfer of essential information for the valuation of the asset, for the safe and efficient continuity of operations and for the use of resources in the form of the Exploration and Production contract subject to the assignment process.

Note:

The assignor shall make available to the assignee a copy of administrative processes, plans, programs, bulletins, reports, records and other documents related to the E&P contract, necessary for the valuation of the asset, for the safe and efficient continuity of operations and for the use of resources under the E&P contract, and the availability must occur prior to the filing of the request.

The complete list of processes and documents whose copies were made available from the assignor to the assignee must be listed in this "Declaration".

[12] Applicable only when the assignment implies a change in the contract operator in the production phase. The declaration provided for in item "l" must be signed by the assignor and those provided for in paragraphs "m" and "n" must be signed by the assignee.

The processes, documents or information necessary for the continuity of regulatory obligations and for the use of resources in the form of the E&P contract must be made available by the assignor to the assignee and may be subject to a label only in the chapters or excerpts that fit into at least one of the hypotheses below:

i. Information from the preliminary economic analysis of the Final Report on the Evaluation of Findings (RFAD) that qualify as a competitive advantage to other economic agents under the terms of article 5 of Decree No. 7,724/2012;

ii. Economic data from the Development Plan (PD) that qualify as a competitive advantage to other economic agents under the terms of article 5 of Decree No. 7,724/2012, except for data related to decommissioning;

iii. Economic data related to the Resource and Reserve Bulletins submitted to ANP, which qualify as a competitive advantage to other economic agents under the terms of article 5 of Decree No. 7,724/2012;

iv. Other information and documents that do not constitute an asset of the contract may be exceptionally restricted by the assignor when they are protected by a legal duty of confidentiality, and the specific legal basis that determines the confidentiality must be expressly identified.

The new concessionaire or contractor will be responsible for safeguarding the confidentiality of the information classified under the terms of the legislation in force, observing the hypotheses of confidentiality provided for in Law No. 12,527/2011, and other applicable rules, maintaining the level of protection previously attributed to data and documents, notwithstanding the obligation of the assignor to transfer the technical data to the assignee, under the terms of the applicable legislation.

6.2 Applicant's documents

a) Corporate documents of the applicant and the legal entities that signed the Authorization Request, the Term of Assignment, the Amendment Term, the Consortium Agreement and other documents (**assignors and eventual consortium members**).[13]

a.1) Articles of incorporation (bylaws or articles of association) and their amendments or the consolidation of the articles of incorporation after any amendments, containing the most current provisions and in full force, all filed with the competent trade registry;

[13] The corporate documents of all legal entities that are signatories of the documents presented are necessary for the analysis of the powers of their representatives.

a.2) Documents referring to the proof of the powers and names of the legal representatives, as well as the most recent acts related to the election/appointment of such representatives, if applicable;

a.3) Documents proving compliance with any conditions for the exercise of the powers of the representatives in the manner provided for in the articles of incorporation, if applicable (joint signatures of officers, express authorization of the board of directors, among others);

Note:

Documents presented to meet the conditions imposed in the articles of incorporation must be accompanied by documentation proving the powers of the signatory.

b) Power of Attorney for the appointment of accredited representatives, if applicable[14].*

Note:

If the interested party intends to change the list of accredited representatives during the assignment process, it must present a new power of attorney, which will revoke the power of attorney previously presented.

6.3 Qualification documents for assignee, new operator or concessionaire/guaranteed contractor

6.3.1 Legal qualification and proof of tax and labor regularity

a) Corporate documents.

a.1) Articles of incorporation (bylaws or articles of association) and their amendments or the consolidation of the articles of incorporation after any amendments, containing the most current provisions and in full force, all filed with the competent trade registry;

a.2) Documents referring to the proof of the powers and names of the legal representatives, as well as the most recent acts related to the election/appointment of such representatives, if applicable;

a.3) Documents proving compliance with any conditions for the exercise of the powers of the representatives in the manner provided for in the articles of incorporation, if

[14] If the legal entity intends to appoint accredited representatives who do not have powers of representation granted through its corporate documents.

applicable (joint signatures of officers, express authorization of the board of directors, among others);

a.4) Declaration of the timeliness of the corporate acts.*

Notes:

It is essential that the corporate purpose described in the contract or bylaws covers the activities of exploration and production of oil and natural gas.

Any documents presented to meet the conditions imposed in the articles of incorporation must be accompanied by documentation proving the powers of the signatory.

b) Power of attorney for appointment of accredited representatives.*

Notes:

The interested party must appoint one or more accredited representatives before ANP, with specific powers to perform acts and assume responsibilities related to the assignment process.

If the interested party intends that any of its legal representatives act in the assignment process, they must also be appointed as accredited representatives by means of the aforementioned power of attorney, even if such representatives have powers granted through the corporate documents of the interested party.

If the interested party intends to change the list of accredited representatives, it must present a new power of attorney, which will revoke the power of attorney previously presented.

c) Organizational chart detailing **the entire chain of control of the corporate group** (including natural persons, foreign companies and companies that operate in another field of activities).

Notes:

The organizational chart must be entitled "ORGANIZATIONAL CHART OF THE CORPORATE GROUP".

A corporate group is understood to be the set of legal entities linked by a relationship of common control, direct or indirect.

The document must be signed by an accredited representative, and must contain the respective percentage of the quotas or shares with voting rights of each of the legal entities that are part of said group, as well as of each of the natural persons that control each of such legal entities.

In the event of replacement or exemption from a performance guarantee resulting from a change in corporate control, the interested party must submit two organizational charts, one

detailing the entire chain of control of the current corporate group and one detailing the chain of control after the change.

A legal entity will not be qualified: (i) controlled by bearer shares, without explicit identification of control; or (ii) whose own constitution or that of a legal entity that is part of its corporate group prevents or hinders the identification of the controlling shareholders.

d) Declaration of absence of impediments to signing the E&P contract.*

e) Statement on relevant legal or judicial issues.*

6.3.2 Technical qualification

The technical information must be provided in accordance with one of the following models of technical summaries, alternatively, observing the contractual regime of the contract object of the assignment:

6.3.2.1 Concession Contracts (Tender Protocol for the Open Acreage of Concession)

a) Technical qualification by experience of the interested party or its corporate group: technical summary 01*;

b) Technical qualification based on experience of the technical staff of the interested party: technical summary 02*;

c) Technical qualification as non-operator: technical summary 03*;

d) Technical qualification for interested parties who already work in Brazil: technical summary 04*.

6.3.2.2 Production Sharing Contracts (Tender Protocol for the Open Acreage of Production Sharing)

a) Technical qualification by experience of the interested party or its corporate group: technical summary 01*;

b) Technical qualification as non-operator: technical summary 02*;

c) Technical qualification for interested party already working in Brazil: technical summary 03*.

In any of the regimes, the following must also be presented:

a) Documentation that expresses the company's policy regarding the principles of Safety, Environment and Health (HSE) or Quality, Safety, Environment, Health and Social Responsibility (QHSE-RS), according to the best practices in the industry;

b) Performance guarantee, if applicable (present the signed original).*

Notes:

The performance guarantee can be signed physically or digitally.

A performance guarantee can only guarantee the obligations of a single E&P contract. Thus, as many guarantees as the number of contracts to be assigned must be presented.

According to the most recent tender protocols, the performance guarantee will be required from the concessionaire/contractor, exclusively as an operator, when it does not prove its own experience in E&P activities, technically qualifying itself by the experience of its corporate group.

The performance guarantee must be accompanied: (i) by the guarantor's corporate documents detailed in section 6.3.1.a, noting that the statement indicated in item 6.3.1.a.4 must be signed by the guarantor's legal representative, with powers to do so; and (ii) the organizational chart explaining the relationship between guarantor and guarantor, pursuant to item 6.3.1.c.

6.3.3 Economic and financial qualification

For the purposes of economic and financial qualification, the following documents must be submitted referring to the last three fiscal years:

a) Financial Statements:

a.1) Balance Sheet;

a.2) Statements of Retained Profit or Loss, which may be included in the Statement of Changes in Shareholders' Equity;

a.3) Yearly income Statement;

a.4) Cash Flow Statement;

a.5) Explanatory Notes;

a.6) Statement of Added Value, if a publicly-held company.

b) Independent auditor's report.

Notes:

The independent auditor's opinion is required for all legal entities submitted to the qualification, although Law No. 6,404/1976 does not require it.

In lieu of the documents listed above, the FIPs shall present the complete Financial Statements of the last three (3) fiscal years, in the manner required by the applicable legislation, accompanied by the report of the independent auditors.

The Financial Statements shall be presented in accordance with Law No. 6,404/1976, and its replacement by provisional trial balances is prohibited, without prejudice to the obligation to present the independent auditor's opinion as established in item "b".

If the legal entity is the controlling shareholder of a corporate group, it must present its Consolidated Financial Statements, observing the provisions issued by the Accounting Pronouncements Committee (CPC) regarding the correlation with international accounting standards (IFRS).

ANP may request the presentation of Quarterly Information (ITR), pursuant to article 16, VIII, of CVM Instruction No. 202/1993, to support the analysis of the qualification.

The legal entity incorporated less than three years ago must present the Financial Statements and the independent auditor's opinion for the fiscal years already ended.

The legal entity incorporated in the same fiscal year at the time of the request must submit the Interim Financial Statements, forbidden to be replaced by provisional trial balances, and accompanied by an independent auditor's opinion. In this case, for the purpose of proving Shareholders' Equity, the legal entity must submit a copy of its last bylaws filed with the trade registry body of its jurisdiction.

The legal entity that wishes to prove an increase in shareholders' equity occurred in the same fiscal year at the time of the request must submit the Interim Financial Statements, and its replacement by provisional trial balances is prohibited, accompanied by an independent auditor's opinion. If the increase is due to a change in the capital stock, the legal entity must also submit a copy of its last bylaws filed with the trade registry body of its jurisdiction.

6.4 Cases of Document Waiver

6.4.1 Change of operator

In requests for authorization to change operator, the documents indicated in the following items of this manual will not be required:

6.1.b – Term of Assignment;

6.4.2 Replacement or Waiver of Performance Guarantee

In requests for authorization for exemption or replacement of performance guarantee, the documents indicated in the following items of this manual will not be required:

6.1.b – Term of Assignment;

6.1.c – Draft of the Amendment to the E&P Agreement;

6.1.d – Draft Consortium Agreement;

6.1.f – Declaration of Transfer of Operational Safety Information to Assignment Process(es) – Assignor;

6.1.g – Declaration of Transfer of Operational Safety Information to Assignment Process(es) – Assignee;

6.1.h – Statement on the Operational Safety Management System for Assignment Process(es);

6.1.i – Timeline of the transition process;

6.1.o – Declaration of the transfer of essential information for the valuation of the asset, for the safe and efficient continuity of operations and for the use of resources in the form of the Exploration and Production contract object of the assignment process;

6.3.1.d – Declaration of absence of impediments to signing the E&P contract;

6.3.1.e– Declaration regarding relevant legal or judicial matters.

6.4.3 Change of concessionaire/contractor resulting from merger, spin-off and incorporation

In requests for authorization to change the concessionaire/contractor resulting from merger, spin-off and incorporation, the document indicated in the following item of this manual will not be required:

6.1.b – Term of Assignment.

7. COLLECTION OF GOVERNMENT AND THIRD-PARTY SHARES

If the assignment of an E&P contract implies a change in the production configuration or the physicochemical characteristics of a given oil stream, it may be necessary to review the configuration of the stream, the allocation of the fields linked to it and the respective reference oil prices, both for the fields subject to the assignment and for those that remain under the ownership of the assignor. The mere change in the ownership of the contract does not imply, by itself, the formation of a new oil stream.

The operator must submit to ANP the information necessary to define or review the configuration of the current and the assignment of the fields linked to it, pursuant to article 3 and article 7 of ANP Resolution No. 874, of April 18, 2022, including, when applicable, the True Boiling Points curve, called the PEV curve. In the absence of the technical information provided for in article 7, including paragraphs 1 to 3, as applicable, the reference price of oil will be set by ANP in accordance with the criteria established in article 8 of the same Resolution.

When the assignment implies a change of operator, the methodology for calculating the reference price of oil may be affected by the size of the new operator, in view of the differentiated parameters applicable to large companies and small and medium-sized companies. The classification of the operator as to the size will comply with the provisions of ANP Resolution No. 32, of June 5, 2014, and the methodology for calculating the reference

price of oil will follow the provisions of ANP Resolution No. 874, of April 18, 2022, as amended by ANP Resolution No. 986, of July 25, 2025.

In cases of total or partial transfer of a concession contract, the concessionaire must make, at the time of signing the respective amendment, the payment for the occupation or retention of the area due until the transfer, observing the provisions of article 28, especially paragraphs 1 and 11, of Decree No. 2,705, of August 3, 1998.

The authorization of the assignment is subject to the assignor and assignee being in compliance with all their obligations related to government and third-party interests in all E&P contracts to which they are parties, pursuant to article 5, item V, of ANP Resolution No. 1,010/2026.

Each interested party may request from ANP, at any time and by means of an official document, information on its default status and on the existence of any debts. The assignee that is not part of the contract object of the assignment may request information regarding the debts of the assignor upon presentation of a power of attorney granted by the latter.

Without prejudice to the requirement of compliance, the assignor and assignee shall be jointly and severally liable for the obligations before ANP and the Federal Government constituted before the assignment, as well as for the obligations arising from activities carried out before the assignment, even if constituted later, pursuant to article 8 of ANP Resolution No. 1,010/2026.

Exclusively regarding the effects of the assignment on the parameters for calculating and calculating the reference price of oil for the purposes of government participation, the parameters applicable to the new operator in relation to the production of the month following the effective date of the assignment will be considered, pursuant to article 46, paragraph 4, of ANP Resolution No. 1,010/2026.

8. COMPETITIVE ANALYSIS OF THE ASSIGNMENT OPERATION

If the intended assignment involves business companies that meet the criteria of annual gross revenue or turnover established in Interministerial Ordinance MJ/MF No. 994, of May 30, 2012 (PI 994/2012), or another that may replace it, **the transaction must be assessed and approved by the Administrative Council for Economic Defense (CADE), by means of a final decision**.

It should be clarified **that the absence of CADE's decision is not an impediment to the submission of the request for assignment to ANP**. In this case, the request for assignment must be accompanied by a Declaration of Awareness of Pending Documents, in which the assignor and assignee undertake to submit the missing documents within 5 days after the publication of CADE's final decision in the Official Gazette. **The deadline for ANP to produce a competitive analysis of the assignment will only start from the presentation of CADE's final decision.**

Still with regard to the hypothesis of compliance with the criteria of IP 994/2012, it should be emphasized the importance of attaching to the process, **cumulatively**: (i) the publication, in the Federal Official Gazette, of the extract of the decision that approved the transaction; and (ii) the full technical document that supported CADE's decision (Technical Opinion, in the case of a decision of the General Superintendence; or the report and vote of the reporting commissioner/conductor, in the case of a decision of CADE's Administrative Tribunal).

In addition, we call attention to the fact that the comparison of the amounts described in PI 994/2012 must be made in relation to the turnover or annual gross revenue **of the Economic Group** to which the business companies are linked, and not only to the amounts earned by the legal entity of the applicants.

If the applicant business companies do not meet the criteria of PI 994/2012, they must submit a 'Declaration of non-compliance in the hypotheses of articles 88 et seq. of Law No. 12,529/2011', according to the model available on ANP website.

Finally, requests that aim at (i) the mere change of operator or guarantor of the contract, without any additional corporate change; (ii) the exemption or replacement of the performance guarantee; or (iii) other transactions not classified as a merger, by virtue of regulations issued by CADE, must be accompanied by a 'Declaration of Non-Compliance'. For the latter case, the declaration of non-compliance must refer to CADE's normative act (Resolution or Jurisprudential Precedent) that contains the legal provision.

Without prejudice to the documentation provided for in this Manual, the Superintendence for the Defense of Competition (SDC) may request additional information, documents and clarifications that it deems necessary for the proper assessment of the competition issues related to the transaction, under the terms of its regulatory attributions and the Normative Instruction that regulates the performance of ANP's organizational units in the assignment process.

9. FINANCIAL GUARANTEES OF THE MINIMUM EXPLORATORY PROGRAMME

If the contract to be assigned is in the exploration phase and there is still a Minimum Exploratory Program to be fulfilled, the assignee must present financial guarantees under the terms provided for in the tender protocol and in the contract, except in cases where the contract remains fully insured by current guarantees presented by another consortium member.

Additionally, in the case of a consortium, a letter signed by the consortium members must be submitted in accordance with the requirements contractually established under the Compensatory Penalty Clause for Non-Compliance with the Minimum Exploratory Program.

Upon receipt of the notification of the approval of the assignment, if there are conditions related to financial guarantees, the new guarantees and, when applicable, the

letter signed by the consortium members must be submitted to ANP in a specific process at SEI, directed to the Superintendence of Exploration (SEP). Compliance with these conditions is a necessary requirement for the signing of the amendment to the E&P contract.

It is important to note that the original copies of the financial guarantees must be sent to ANP Central Office or delivered to the protocol service in the care of the Superintendence of Exploration (SEP).

Doubts related to financial guarantees of the Minimum Exploratory Program may be clarified by interested parties with the Superintendence of Exploration (SEP).

10. DEVELOPMENT PLAN (PD)

In cases of assignment of E&P contracts involving mature fields, ANP Resolution No. 1,010/2026 provides for the possibility of presenting a new Development Plan (DP), jointly by the assignor and the assignee. In this case, the approval of the new DP will occur jointly and simultaneously with the approval of the assignment request.

As a rule, the new PD will become effective on the effective date of the assignment. If the assignment is not consummated, the previously approved PD will remain in force, without prejudice to the possibility of ANP determining its update.

Exceptionally, upon express request of the assignor, ANP may establish that the new PD takes effect before the effective date of the assignment. In this case, if the assignment is not consummated, the assignor will remain responsible for complying with the obligations arising from the new PD.

When the parties choose to submit a new PD within the scope of the assignment, the PD must be filed in an administrative proceeding different from the one intended for the assignment request. The new PD and the assignment request must be submitted on the same date, and there must be reciprocal reference between the respective processes. The PD forwarding correspondence must inform that its submission occurs together with the assignment request, pursuant to article 4 of ANP Resolution No. 1,010/2026, and identify the respective administrative process. Likewise, the forwarding correspondence of the assignment request must inform the joint submission of the new PD and identify the corresponding administrative process.

The new PD will be analyzed by the Superintendence of Development and Production (SDP), in accordance with the procedures applicable to the analysis of Development Plans. Once the analysis is concluded, the recommendation regarding the approval of the PD will be submitted to ANP Collegiate Board together with the request for assignment, so that both matters are subject to joint and simultaneous deliberation.

Considering the need for joint consideration of the request for assignment and the new PD, one of the processes may be suspended, when necessary, until both are in a position to be forwarded jointly to the deliberation of the Collegiate Board of Directors.

11. OPERATIONAL SAFETY

Item 6.1 presents in items "f" to "j" the documents necessary for the analysis procedure by the Superintendence of Operational Safety (SSO) within the scope of the process of assignment of E&P contracts. Due to the relevance of matters related to operational safety, associated with the lessons learned throughout the various assignment processes analyzed and the safety audits carried out, it became urgent to incorporate into this manual operational safety guidelines for assignors and assignees, which address several matters that have a direct impact on new operators of E&P contracts, with an impact on the process of assignment of E&P contracts and the transfer of the operation from the assignor to the assignee, thus deserving to be highlighted in this document, as provided for in the following sub-item.

11.1 Operational security guidance for assignors and assignees

11.1.1 General guidelines

The E&P contracts establish a series of duties related to operational safety for operators, and it is up to the assignee who will assume the operation of the contracts, which are the duties of the operator, among others:

a) maintain a minimum staff domiciled in Brazil, fluent in the Portuguese language and able to efficiently and effectively conduct daily operations, as well as respond to incidents appropriately and immediately.

   The staff must be designed according to the best practices of the oil industry and be in direct proportion to the operational and environmental risks assumed by the concessionaire/operating contractor;

b) monitor, uninterruptedly, all activities involving operational, environmental or human health risks through a monitoring center necessarily located in Brazil.

   The monitoring center must be located on land and equipped with technology and size compatible with the risks assumed by the concessionaire/operating contractor, according to the best practices of the oil industry;

c) participate in the preparation and formally approve the emergency response procedures and risk analysis studies of the activities conducted within the scope of the contract, in accordance with the best practices of the oil industry;

d) establish an organizational structure and resources in Brazil that have personnel responsible for operational safety, in order to create an equalization of forces between decisions related to operational activities and the management of operational safety risks, in order to ensure that operational risks are considered as a priority in the consortium's decision-making process.

More information on operational safety is available on ANP website https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/seguranca-operacional.

11.1.2 Conduction of activities

After signing the amendment, the new contract operator becomes responsible for the compliance of the operating units, facilities, wells, systems, equipment and procedures related to the contracted areas, and must fully comply with ANP's resolutions and technical regulations and conduct its activities in strict compliance with the E&P contract and applicable legislation.

In order to commence operations, the assignee must have assessed the changes in operations, procedures, standards, designs, programs, standards, products, facilities, organizational structure and workforce arising from the E&P contract assignment process in order to manage the risks arising from these changes at acceptable levels.

The change management process must be conducted in accordance with the requirements of the respective management practice contained in the technical regulations of operational safety. Therefore, the assignee must observe the following conditions that prevent the implementation of the modifications: (i) the assessment of the hazards and the global impact on the activities; (ii) the updating of the procedures and documentation affected by the change; (iii) the training and communication for all personnel whose work is impacted by the changes; and (iv) the authorization of the change (start of operation by a new company) issued by an appropriate management level.

The assessment of hazards and the overall impact on activities shall include:

a) compliance with the operational safety clauses of the contract, highlighted in the general guidelines of this manual;

b) the evaluation of the response capacity to each accidental scenario, according to the practice of planning management and emergency management; e

c) the planning and provision of the necessary resources for the implementation and operation of the operational safety management system and for the continuity of continuous improvement actions, maintenance orders and integrity and risk recommendations in progress of the assignor to meet the requirements of technical regulations, in accordance with the practice of safety culture management, commitment and managerial responsibility.

As for training, it is necessary that the workforce is trained and qualified to perform critical operational safety procedures.

It is highly recommended that the workforce has hands-on mentoring until they have complete mastery in performing their duties safely.

11.1.3 Safety management systems

The E&P contracts establish that the concessionaire/contractor must have an operational safety management system that meets the best practices of the oil industry and the applicable legislation.

ANP Resolution No. 43/2007, which establishes the Operational Safety Regime for Oil and Natural Gas Drilling and Production Facilities, establishes that the concessionaire/contractor is responsible, among others, to determine that the operator of the facility has a management system that meets the practices of the Operational Safety Management System established by ANP (SGSO) as established in the Technical Regulation.

ANP Resolution No. 2/2010, which establishes the Operational Safety Regime for Onshore Fields of Oil and Natural Gas Production, establishes as the responsibility of the concessionaire/contractor, among others, to determine that the operator of the facility has a management system that meets the practices of the Structural Integrity Management System in Onshore Fields of Oil and Natural Gas Production (SGI) instituted by ANP, as established in the Technical Regulation.

ANP Resolution No. 6/2011, which established the operational safety management of onshore pipelines for the movement of oil, its derivatives and natural gas, establishes as the responsibility of the companies holding the rights to explore and produce oil and natural gas, among others, to have a management system that complies with the provisions of the Technical Regulation of Onshore Pipelines for the Movement of Oil, Derivatives and Natural Gas (RTDT).

ANP Resolution No. 41/2015, which establishes the Operational Safety Regime for Subsea Systems, establishes that it is the responsibility of companies holding the exploration and production rights of oil and natural gas, among others, to have a management system that complies with the provisions of the Technical Regulation of the Operational Safety Management System for Subsea Systems – SGSS.

ANP Resolution No. 46/2016, which approves the Operational Safety Regime for the Integrity of Oil and Natural Gas Wells, establishes that it is the responsibility of companies holding the rights to explore and produce oil and natural gas, among others, to have a management system that complies with the provisions of the Technical Regulation of the Well Integrity Management System - SGIP established by ANP.

ANP Resolution No. 851/2021 regulates the procedure for the inspection of operational safety of oil and natural gas exploration and production activities based on the evaluation of the effectiveness of the management system implemented, the identification and verification of the remediation of non-conformities, and establishes the cases that may grant a deadline for adaptation to ANP's technical regulations for operational safety management.

ANP Resolution No. 882/2022 establishes the procedure for reporting incidents and sending investigation reports to ANP for concessionaires/contractors.

It should be noted that, when taking over operations, the new operator of the E&P contract must have its operational safety management system implemented, and will be subject to ANP audits, and is also responsible for determining that the companies operating the facilities have management systems that meet ANP's technical regulations for operational safety.

11.1.4 Transfer of operational safety information

The documents and information related to the Declaration of Transfer of Operational Safety Information to Assignment Process(es) (item 6.1, items "f" and "g") must be transferred to the assignee whenever there is a change of operator of the E&P contracts, and must occur prior to the transfer of the contract operation.

Among the information to be transferred, there is a mandatory document the report verifying the availability of barriers, which must contain the *status* of **all barriers contained in the risk studies of the units** (examples: APR, HAZOP, gas dispersion study, fire and explosion propagation study), prepared by the assignor, which must be transferred in full to the assignee prior to the transfer of the contract operation.

It is strongly recommended that the assignor and the assignee promote *workshops* or technical meetings, prior to the transfer of the contract operation, in order to enable interaction between the parties on issues related to operational safety, focusing on the detailed presentation by the assignor of the risk studies of the units, the status of the barriers and contingencies that may be implemented, the results of internal audits, the critical procedures of the units, among others. ANP/SSO should be invited to participate in the event and will evaluate its participation according to its convenience and availability. The scheduled date for the *workshop* must be included in the document Timeline of the Transition Process (item 6.1, item "i").

11.1.5 Assisted operation

It is strongly recommended that the assignor and the assignee establish periods of assisted operation before and after the conclusion of the assignment, in which one monitors the activities of the other, in order to know in detail the operational practices for risk control and reduce the regulatory risk in compliance with notifications for the delivery of information on operational safety during any inspection action by ANP in this period. The estimate for carrying out this stage must be included in the document Timeline of the Transition Process (item 6.1, item "i").

11.1.6 Operational Safety Documentation (DSO)

The presentation of the DSO by operators of E&P contracts is regulated by ANP Resolutions No. 43/2007 (SGSO) and No. 2/2010 (SGI).

The start of the operation by the assignee is linked to ANP's permission, which will take place after the DSO's analysis.

For assignments involving the Operational Safety Regime for Offshore Oil and Natural Gas Drilling and Production Facilities (SGSO), the DSO, composed of the Correlation Matrix (MC); Description of the Maritime Unit (DUM) and Concessionaire Information Report (RIC), **must be submitted by the assignee and approved by ANP prior to the transfer of operations**.

The endorsement of the MC and DUM by the assignee is allowed, if there is no change of operator of the facility. The presentation of a new DSO and the endorsement of documents must occur upon petition by the assignee in a new administrative proceeding in ANP's Electronic Information System (SEI) for each facility.

For assignments involving onshore production facilities covered by the Structural Integrity Management System (SGI), the DSO, composed of the Description of the Onshore Unit (DUT); Floor Plan of the Facility; Process Flowchart; Electrical Classification Plan of Areas and List of Critical Elements of Operational Safety, **must be presented by the assignee and approved by ANP prior to the transfer of operations**.

The endorsement of the documents that make up the DSO by the assignee is allowed, with the exception of the List of Critical Elements of Operational Safety, which must necessarily be revised. The presentation of a new DSO and the endorsement of documents must occur through a petition by the assignee in a new administrative proceeding in ANP's Electronic Information System (SEI) for each field.

For DSO's endorsement of the maritime or onshore facilities covered by the SGSO or the SGI, the transferee must declare: (i) to have full knowledge of the documents being endorsed and (ii) to have received all the information contained in the Declaration of Transfer of Operational Safety Information document (item 6.1, paragraph "g").

12. DECOMMISSIONING OF FACILITIES

The decommissioning of facilities in the assignment of contracts is governed by ANP Resolution No. 817/2020, which establishes the responsibility of companies holding the exploration and production rights of oil and natural gas to carry out the activities of decommissioning facilities in a safe manner, observing all the requirements of the resolution and the Technical Regulation for the Decommissioning of Exploration and Production Facilities.

If the assignor is responsible for the decommissioning of facilities, **the following documents must be submitted along with the assignment request**:

a) Document informing the facilities to be decommissioned by the assignor and those that will be used by the assignee (ANP Resolution No. 817/2020, art. 37);

b) Updated Facilities Decommissioning Program (PDI) (ANP Resolution No. 817/2020, art. 38);

c) Draft of the Term of Commitment between the assignor and ANP, with the assignee being an intervening party (ANP Resolution No. 817/2020, art. 39).

The draft must be accompanied by a spreadsheet containing the following information on the facilities that will be decommissioned by the assignor: registration codes with ANP (SIGEP/DPP); type of object; identification/name of the object; identification of the block or field; coordinates of the object and corresponding ANP process, and ANP may request additional information.

As a reference, the "Guidelines for the preparation of the term of commitment for decommissioning as a result of the process of assignment of rights and obligations" are published on anp website, at https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/gestao-de-contratos-de-e-p/cessao-de-contratos/procedimento address.

12.1 Decommissioning in the exploration phase

When the decommissioning of facilities occurs in the exploration phase, the documents referred to in items "a" and "b" of item "12. DECOMMISSIONING OF FACILITIES" must be submitted to ANP in a specific process at SEI, directed to the Superintendence of Exploration (SEP).

Any doubts may be clarified by interested parties with the Superintendence of Exploration (SEP).

12.2 Decommissioning in the production phase - Decommissioning guarantees

In the processes of assignment of contracts involving fields in the production phase, the assignee must present a financial guarantee or term that ensures the necessary resources for the decommissioning of the facilities, under the terms of ANP Resolution No. 854/2021. The approval of the guarantee or term by ANP is a condition for the signing of the amendment of assignment.

The amount to be covered by the assignee will correspond to the guaranteed value for the field, calculated by the Development and Production Superintendence (SDP) in accordance with the Progressive Contribution Model (MAP).[15] For this calculation, the total

[15] To calculate the amount to be guaranteed, the MAP will consider the variables time of the contract, the reserves and the accumulated production (MAP Normal). The accumulated production from the date of the amendment to the assignment will only be considered if the assigned contract has 10 years or less to its end, counted from the date of the assignment, and has a revision of the Development Plan sent jointly by the assignee and the operator providing for new investments to be used and requesting the extension of the contract (MAP Incentivized).

estimated cost of decommissioning, the proven and probable reserves (2P), the remaining time of the contract, the estimated date for the end of production and decommissioning, and the accumulated production are considered, among other elements.

The amounts to be guaranteed are periodically updated and published on ANP website. Thus, in the assignment process, the current MAP value for the respective field must be considered. In cases of partial assignment of participation in the contract, the value of the guarantee to be presented by the assignee will correspond to the portion of the amount to be guaranteed annually proportional to the percentage of participation object of the assignment.

The modalities admitted, the applicable requirements and the models of the instruments are established in ANP Resolution No. 854/2021. The guidelines contained in the Manual for the presentation of the Decommissioning Guarantee, available on ANP website, must also be observed. In addition, the guarantee must be registered in the DPP System and accompanied by the respective Application for Presentation of the Guarantee, duly completed, as well as the other documents required for the chosen modality.

After being included in the assignment process, the guarantee or term will be submitted to ANP for analysis. Once the assignee's guarantee is approved and the other applicable conditions are met, the amendment to the assignment may be signed. While the assignment is not effective, the assignor must keep the financial guarantees corresponding to the interest object of the assignment valid. If the guarantee presented by the assignee is approved by ANP, but the assignment is not effective, the assignee must formally request the return of the guarantee.

Once the assignment is effective, the assignee will observe the general rules for maintaining and updating the guarantees provided for in ANP Resolution No. 854/2021. The amount to be guaranteed will be updated in accordance with the MAP and, whenever the amount required is higher than the amount of the guarantees or the term in force, the contractor must promote its complementation or replacement in a sufficient amount, attaching the guarantee or term to a new administrative proceeding.

13. OIL AND NATURAL GAS PRODUCTION MEASUREMENT SYSTEM

The assignee must work with the assignor during the assignment process to obtain information regarding the oil and natural gas measurement system of the existing facilities in the areas of the E&P contracts to be acquired, which includes the authorizations obtained for the measurement systems used. The information must also be attached to the administrative assignment process in order to support the analysis and issuance of an opinion by the Oil and Natural Gas Production Measurement Inspection Center, when applicable.

For assignments of E&P contracts that involve a change of operator, it is essential that this Agency is promptly informed of a change in the way of determining the production of each field that implies discontinuity in the fulfillment of contractual obligations or overlaps responsibilities between different operators.

In relation to the administrative proceedings that are processed by this Agency, it is the duty of the companies involved to inform and proceed with issues involving the regularity of the operation with the CFP/ANP regarding administrative proceedings for the calculation of the recalculation of oil and natural gas production; ongoing sanctioning proceedings; judicial proceedings related to infractions judged in the second instance or/and for the determination of the recalculation of oil and natural gas production, if applicable; administrative proceedings for inspections of oil and natural gas measurement facilities and non-conformities registered in the last five years, at least; administrative proceedings involving authorization or cancellation of measurement systems and administrative proceedings involving approval of requests for operational routines.

The Dynamic Panel of Production Measurement Guidelines, available in https://www.gov.br/anp/pt-br/centrais-de-conteudo/paineis-dinamicos-da-anp/paineis-dinamicos-sobre-exploracao-e-producao-de-petroleo-e-gas/painel-dinamico-de-orientacoes-de-medicao-da-producao is a useful tool in this assignment process and concentrates information on the obligations to measure oil and natural gas production followed in the national territory (list of current legislation, technical notes and others); files with videos and presentations made by the CFP to guide regulated companies on measurement topics, infraction notices issued by the CFP; records of measurement points, facilities, fields and wells.

Finally, the CFP recommends that the assignor and assignee hold workshops and/or meetings before the transfer of the contract's operation in order to avoid a broad debate on the measurement systems contained in the area of the contract subject to the assignment.

14. INVESTMENTS IN RESEARCH, DEVELOPMENT AND INNOVATION (RD&I)

The assignee must work with the assignor to obtain formal permission to assume the full management of the portfolio, in accordance with the degree of ostensible access, of all projects contracted by the assignor for the purpose of complying with the contractual clause of mandatory investments in RD&I.

The assignee must also make sure with the assignor that it has become aware of the values of balances (creditors or debtors) that may exist and that these may change in their values due to future inspections, if they are still pending conclusion.

It is the responsibility of the assignee to verify the existence or not of administrative penalty proceedings in progress, as well as fines in execution, referring to non-compliance with contractual clauses of RD&I and the applicable legislation.

15. LOCAL CONTENT OBLIGATIONS

After signing the amendment to the E&P contract, the assignee becomes responsible for complying with the local content obligations established in the contract, related to blocks and fields with an exploration phase or production development stage with open local content obligations, according to criteria established in the contracts themselves, and must fully comply with ANP's resolutions and technical regulations.

It is therefore recommended that the assignee analyze the blocks and fields contained in the contract and the status of compliance with the local content obligations in their respective exploration phases and development stages, according to periodic local content reports sent by the assignor, containing the domestic and foreign expenditures declared to ANP, which can be accessed on the Dynamic Panel of Local Content Investments, available at https://www.gov.br/anp/pt-br/centrais-de-conteudo/paineis-dinamicos-da-anp/paineis-dinamicos-sobre-exploracao-e-producao-de-petroleo-e-gas/painel-dinamico-de-investimentos-de-conteudo-local.

It is also recommended that the assignee seek from the assignor all the local content reports sent and information that led to their completion prior to the assignment. As of the signing of the amendment, the assignee is responsible for sending the reports defined in ANP Resolution No. 871/2022 and for providing clarifications regarding the expenses declared in the blocks and/or fields, as well as presenting to ANP, when requested, the evidence and supporting documents for the assessment of local content, such as contracts, tax documents, local content certificates, declarations of origin and other supporting records provided for in the contracts and in the aforementioned regulations, corresponding to the goods and services acquired and declared in the reports.

For blocks and fields with an exploration phase and/or development stage closed, that is, suitable for inspection, it is recommended to evaluate the status of the inspection process of compliance with local content obligations executed by ANP, by consulting the Dynamic Panel for Local Content Inspection, available at https://www.gov.br/anp/pt-br/centrais-de-conteudo/paineis-dinamicos-da-anp/paineis-dinamicos-sobre-exploracao-e-producao-de-petroleo-e-gas/painel-dinamico-de-fiscalizacao-de-conteudo-local.

In cases where the inspection of local content results in a sanctioning proceeding, with the issuance of an infraction notice, the assignee is responsible to ANP for this proceeding, both for the purposes of the exercise of the adversarial and broad defense and for the payment of the fine, when there is a final decision by ANP in this regard. The assignee is also responsible for requests for exemption and adjustment of local content under analysis at ANP, which may exist for the contracts involved in the assignment, and it is incumbent upon observing the procedure established in ANP Resolution No. 726/2018. The list and status of requests received by ANP can be consulted on the Dynamic Panel of Exemption and Adjustment of Local Content, available at https://www.gov.br/anp/pt-br/centrais-de-

conteudo/paineis-dinamicos-da-anp/paineis-dinamicos-sobre-exploracao-e-producao-de-petroleo-e-gas/painel-dinamico-de-isencao-e-ajuste-de-conteudo-local.

Additional information on local content is available on ANP website at https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/conteudo-local.

16. AUTHORIZATIONS, LICENSES AND PERMITS

As provided in the E&P agreements, the concessionaire/contractor shall, at its own risk, obtain all licenses, authorizations and permits required by the Applicable Law.

It is the responsibility of the **assignee** to obtain all the authorizations, licenses and permissions necessary for the execution of the object of the E&P contract, which may be subject to monitoring and consideration by ANP in the procedural instruction, as well as in the evaluations and deliberations that usually occur throughout the process.

Therefore, **it is necessary for the assignee to act diligently to obtain the necessary authorizations, licenses and permissions both for the operational continuity of the activities under contract, as well as for full compliance with the contractual and regulatory requirements of ANP**.

16.1 Environmental licensing

The exploration and production activities of oil and natural gas are subject to environmental licensing, being a condition for the regular operation of E&P contracts.

Thus, it **is recommended that, concomitantly with the assignment process, the assignee obtain the environmental licensing from the competent environmental agency, since** the delay in obtaining the license may cause a delay in the conclusion of the assignment process or interruption of operations.

17. FINAL PROVISIONS

After the approval of the assignment, the amendment to the signed E&P contract must be submitted within thirty (30) days from the date of the ANP's official announcement which will be published in the Federal Official Gazette.

A new E&P contract must be signed, within a maximum period of thirty (30) days from the date of approval of the assignment, in the following cases:

a) when the contract covers more than one block and the assignment process does not result in the same composition of the concessionaires/contractors or the same operator in all blocks that are part of the contract area; e

b) when the assignment results in the division of areas.

In the case of a new E&P contract, the applicant must submit all plans, programs and reports related to each area separately.

The partial assignment of a field will not be admitted, except as an alternative to a non-materialized production individualization agreement, at the discretion of ANP, as long as it does not result in a reduction in government revenues and participation, according to article 10 of ANP Resolution No. 1,010/2026.

Until the execution of the amendment, the assignor will remain responsible for the fulfillment of the contractual obligations, and the assignee must refrain from performing any act of influence in the management or operation of the E&P contract, in order to avoid the configuration of a de facto assignment.

Questions can be sent to the electronic address rodadas@anp.gov.br.

CHAPTER 2

ELECTRONIC INFORMATION SYSTEM (SEI-ANP)

1. INTRODUCTION TO SEI

The Electronic Information System (SEI) aims to speed up the processing of administrative proceedings, as well as to provide transparency to the acts of the Public Administration. All administrative proceedings initiated at ANP are processed at SEI.

To initiate proceedings or petition

The level of access to the content of the assignment processes is restricted until ANP's decision, even if the administrative process itself is public. The user will only have access to the documents requested by him.

The natural person who makes the petition at SEI will have permanent access to the petitioned documents.

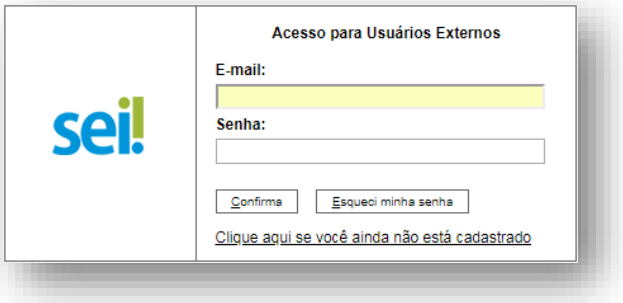
ANP will provide full access to the process only for accredited representatives. The responsibility for maintaining the confidentiality of the process, once made available, is the responsibility of the accredited representative.

The documents must be uploaded individually in files in .pdf format.

2. REGISTRATION IN SEI

Registration as an external user in SEI must be carried out according to ANP External User Manual, available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei.

To start using the system, open the SEI page for access to external users and log in:



3. ELECTRONIC PETITIONING IN SEI

The documents that make up the assignment processes (transfer of ownership; change of concessionaire/contractor resulting from merger, spin-off or incorporation; change of operator; exemption or replacement of performance guarantee), including the qualification documents, and change of corporate control must preferably be requested in SEI by the accredited representatives of the concessionaires/contractors.

The intercurrent petition must be carried out in the same original process as the request.

The level of access to the content of the assignment process is restricted until ANP decides. To preserve the degree of confidentiality of the process, if there is more than one contract to be assigned and there is no identity of the parties to the contracts (several consortium members), the assignor must open a process in SEI for each set of consortium members.

Example: 10 contracts that are the subject of the purchase order.

5 contracts - assignor A + assignee B

3 contracts - assignor A + assignee B + consortium member C

2 contracts - assignor A + assignee B + consortium member D

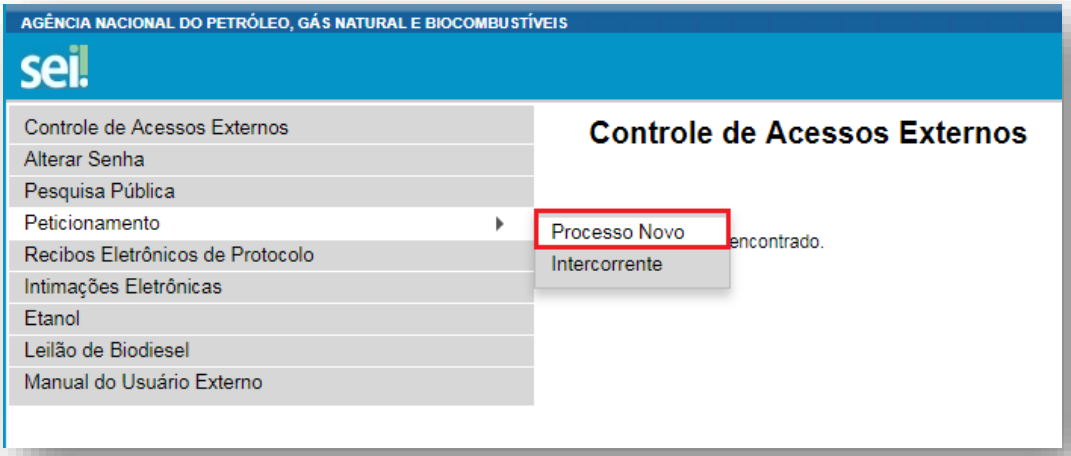
In this example, the assignor must open 3 processes in SEI, one for each situation, *uploading* the qualification documents in only one process.

The following topics contain petition instructions for each type of process.

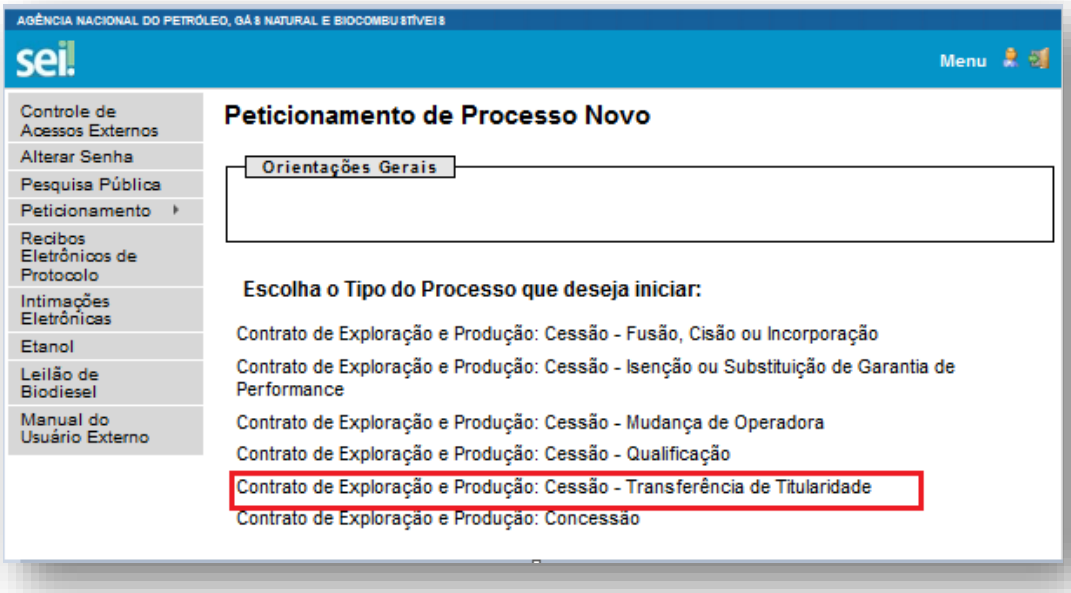
4. EXPLORATION AND PRODUCTION CONTRACT: ASSIGNMENT – TRANSFER OF OWNERSHIP

4.1. New request

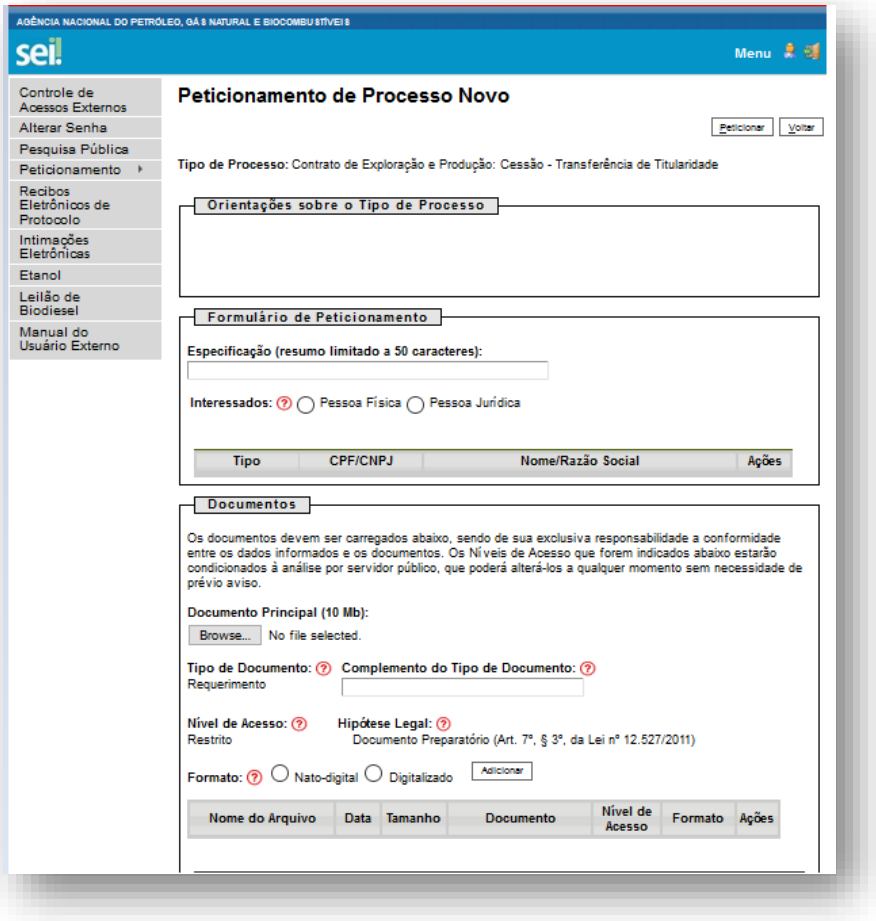
4.1.1. Click on **"Petition"** > **"New Process"**:



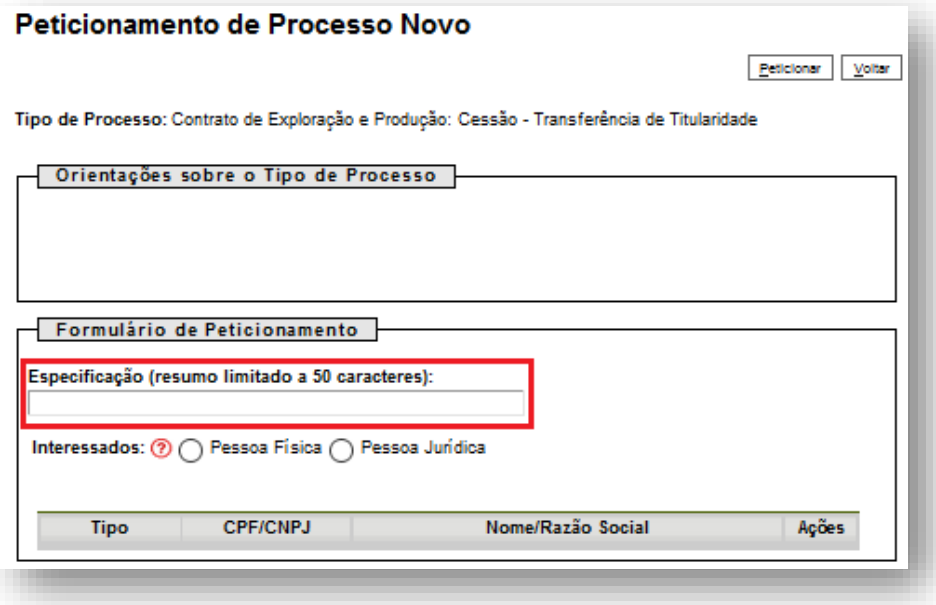
4.1.2. Choose the type of process you want to initiate: **"Exploration and Production Contract: Assignment – Transfer of Ownership":**



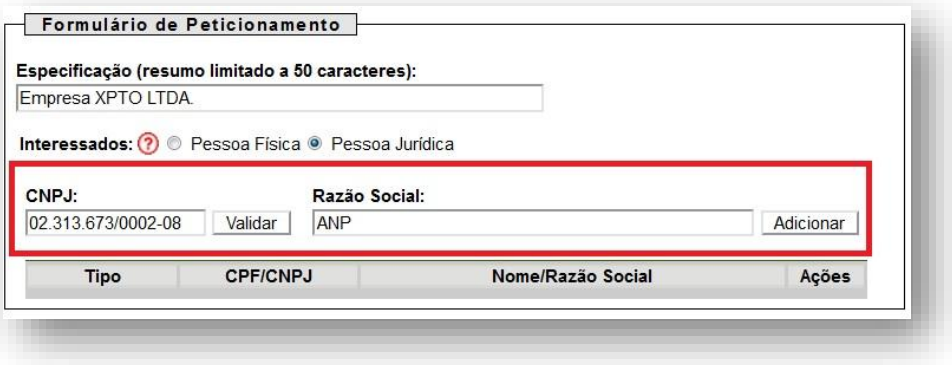
4.1.3. The page below will open:



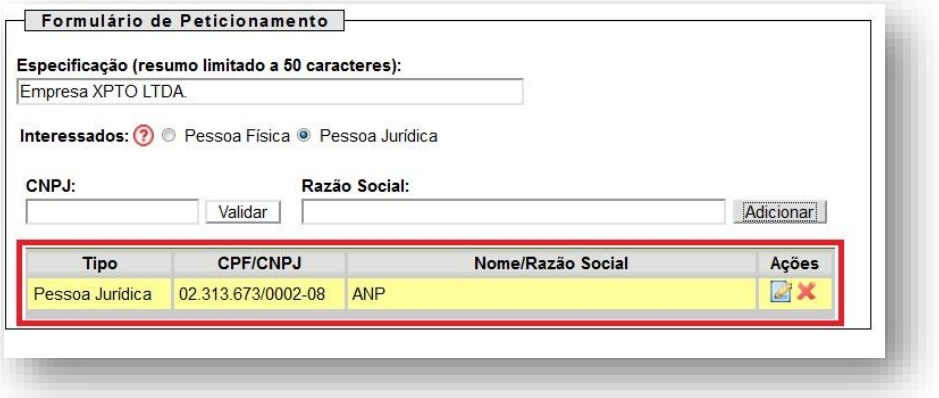
4.1.4. Fill in the **"Specification" field** with the corporate name of the legal entity:



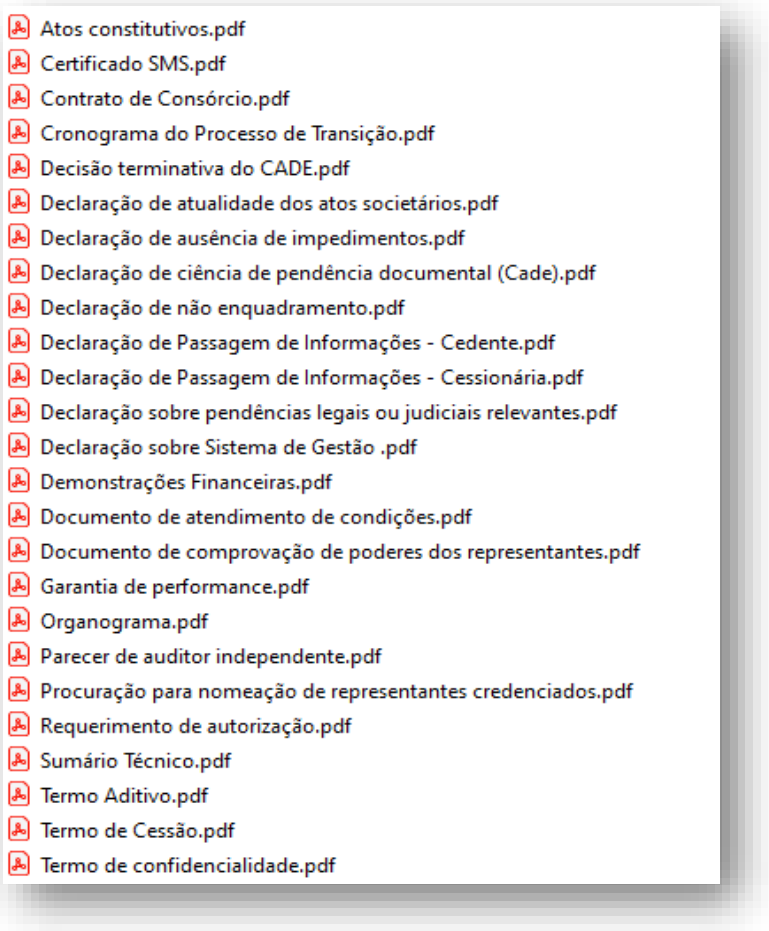
4.1.5. Select the "**Legal Entity**" field. Enter the CNPJ "**02.313.673/0002-08**" and click on "**Validate**" so that the name "**ANP**" appears:



4.1.6. Click on "**Add**" to include the interested party in the process, which will appear in the following table:



4.1.7. In order to standardize, name the files of the documents to be petitioned with the following nomenclature:



4.1.8. In SEI, the documents must be uploaded individually in a file in .pdf format and named according to the specifications in the table below:

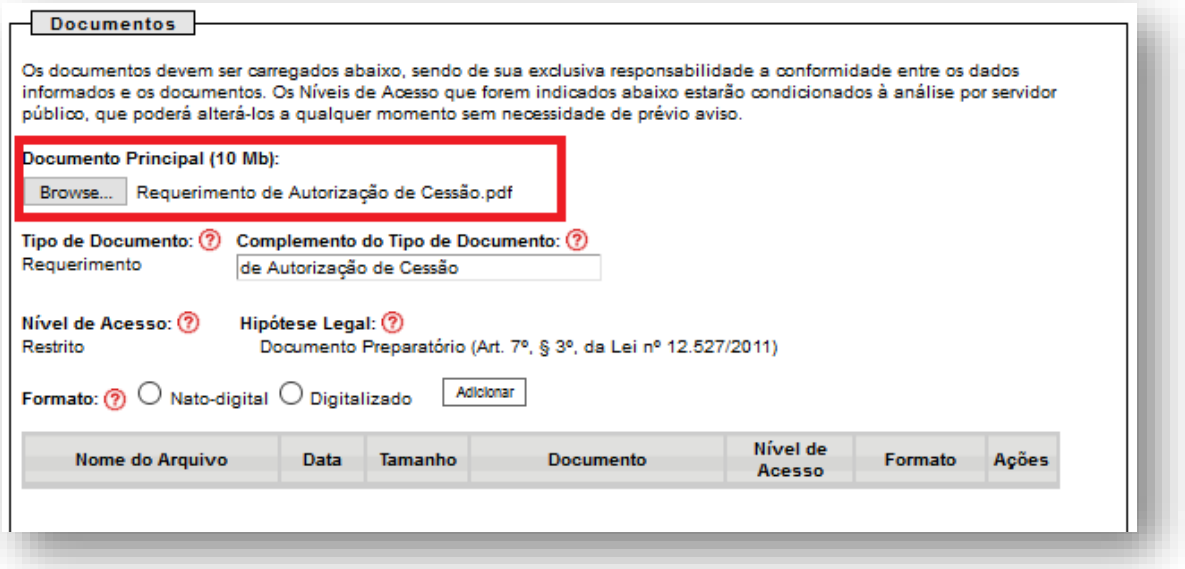
Required documents	Electronic Information System - SEI		
	Document Type	Document Type Add-on	Format
Requirement	Requirement	Authorization	Digitized*
Corporate documents / Articles of incorporation	Constitutive act	Bylaws or Articles of Association	Digitized
Corporate documents / Proof of the powers and names of legal representatives	Document	proof of credentials of representatives	Digitized
Corporate documents / Documents proving the fulfillment of any conditions for the exercise of the powers of the representatives	Document	of condition fulfillment	Digitized
Statement of timeliness of corporate acts	Statement	current status of corporate acts	Digitized
Power of Attorney for Appointment of Accredited Representatives	Power of attorney	appointment of accredited representatives	Digitized*

* The required documents must be **printed, dated, signed** by the accredited or legal representative, as the case may be, and **scanned** for forwarding through SEI.

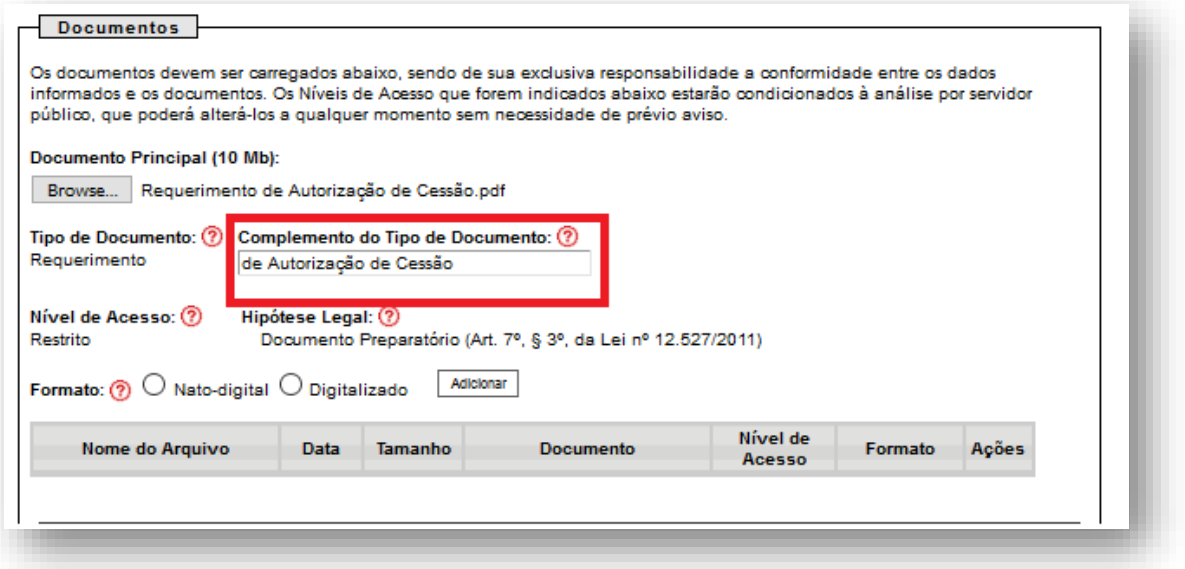
Documents uploaded to SEI in a format other than .pdf and documents clustered into a single file will be considered non-conformities.

4.1.9. Filling in the "**Main Document**" field:

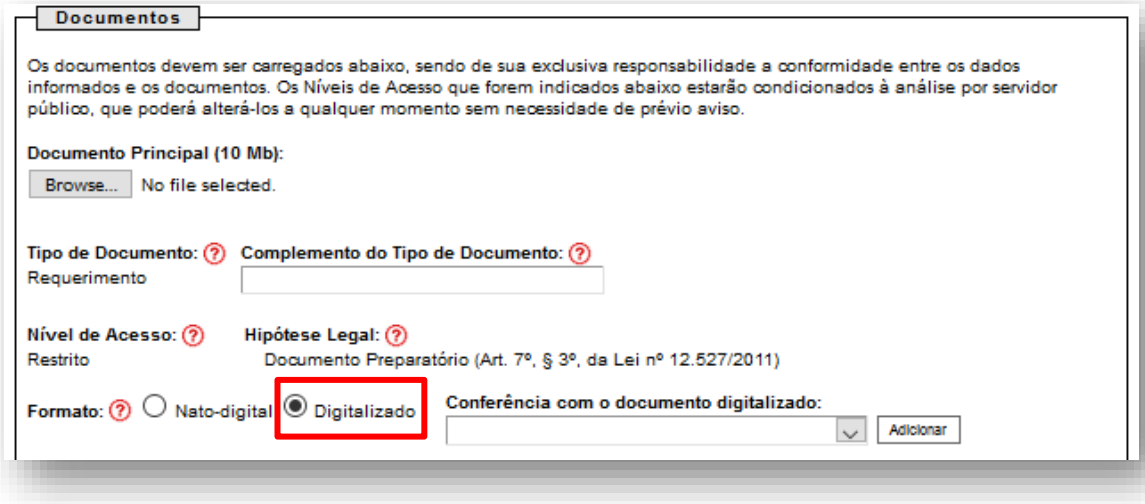
a) Click on "**Choose file**" and search for '**Authorization Request**' in the local directory (the main document must always be the **Application**).



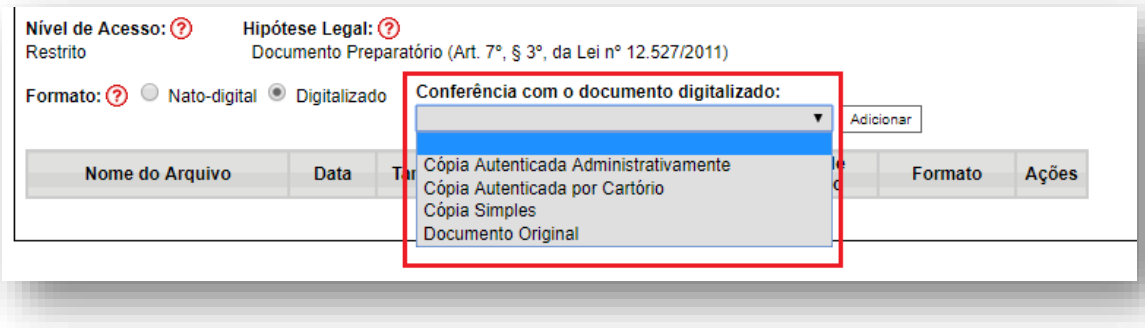
b) Fill in the "**Document type complement**" field, with the text "**Authorization**":



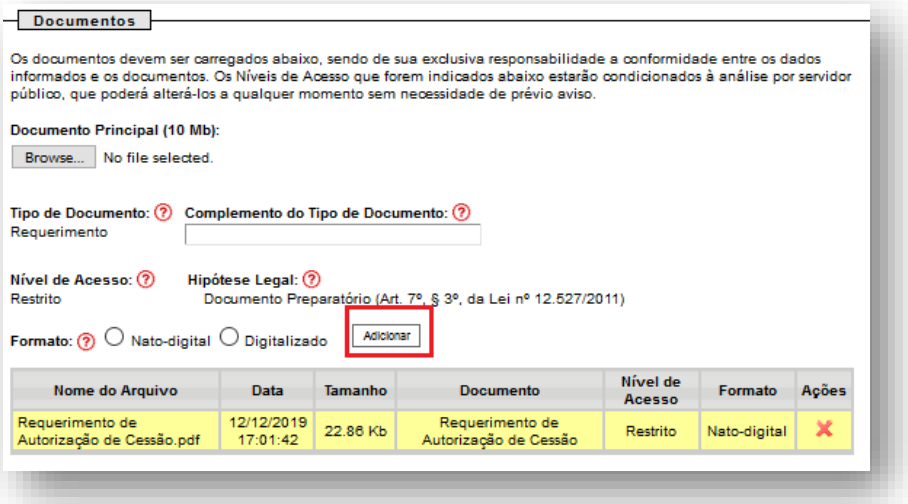
c) Check the **"Scanned" checkbox**:



d) Select the appropriate option in **"Conference with the scanned document",** as provided in ANP External User Manual available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:



e) Click on "**Add**":

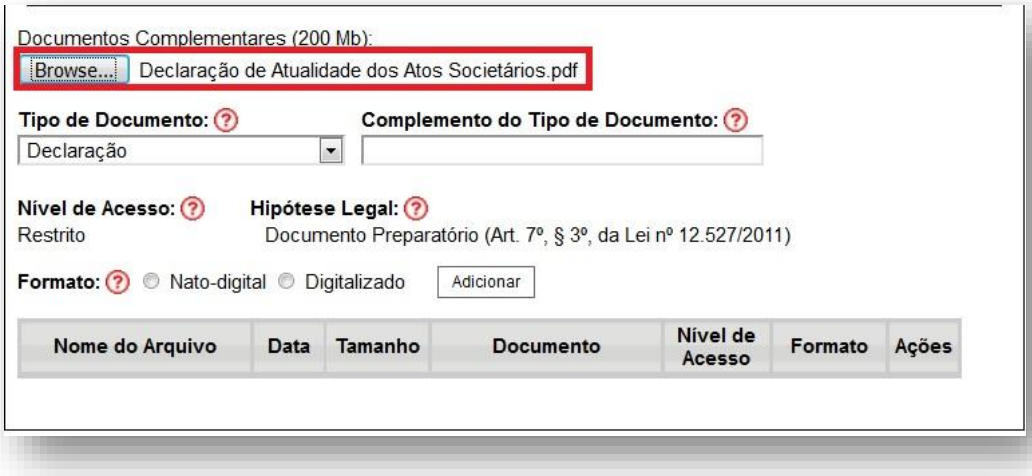


1

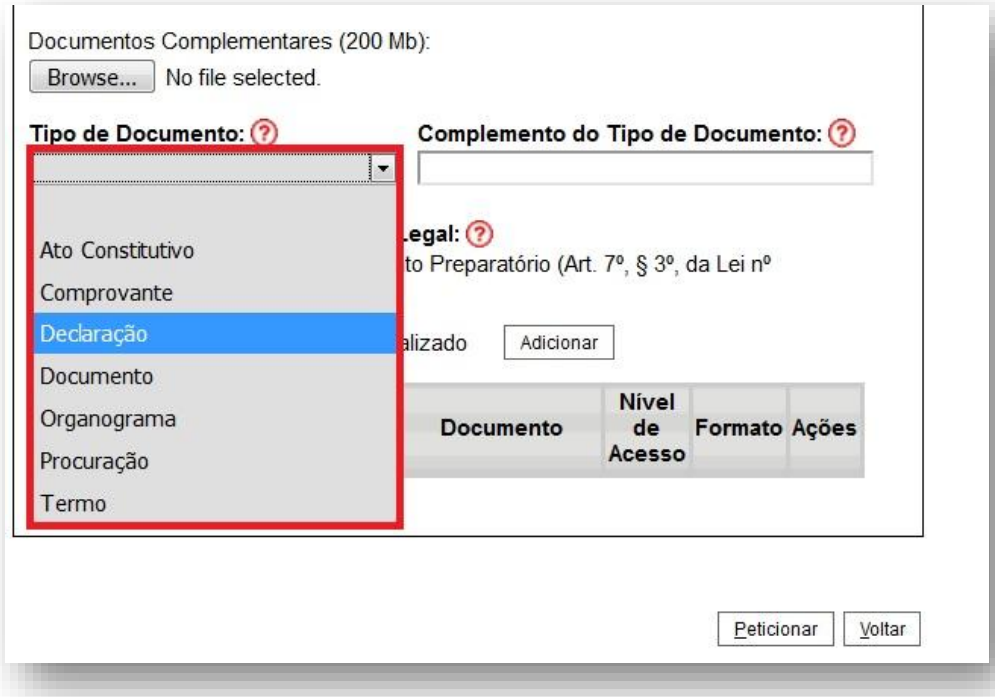
4.1.10. Submission of the **"Complementary Documents",** which are the other documents necessary for the procedural instruction specified in this manual. Example: Requesting a **'Declaration of Timeliness of Corporate Acts'**:

a) Fill in the document according to the template available in https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/gestao-de-contratos-de-e-p/cessao-de-contratos/procedimento, print it, sign it, and scan it.

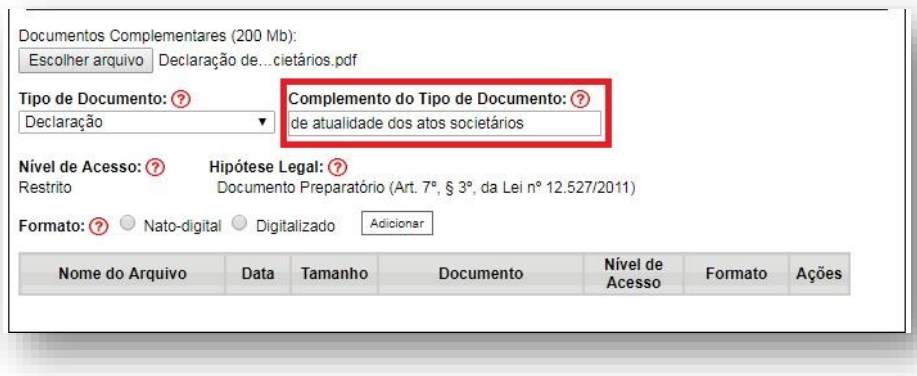
b) Click on "**Choose file**" and search for the '**Statement of actuality of corporate acts**' in the local directory:



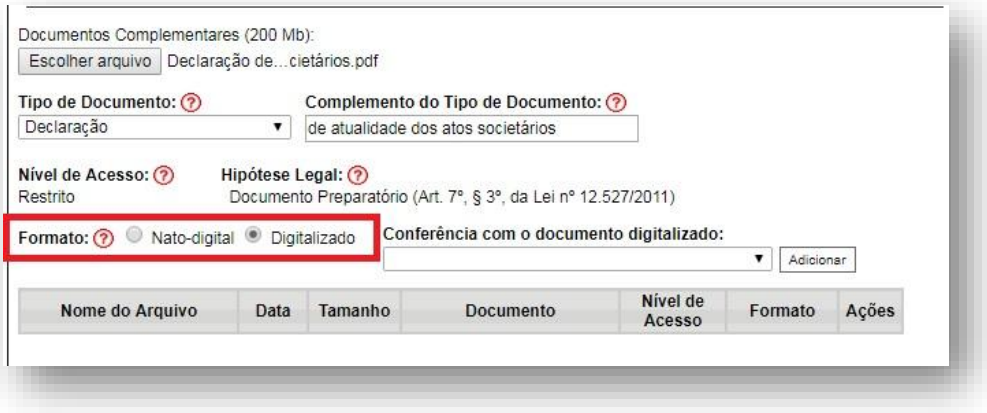
c) Select the "**Declaration**" document type:



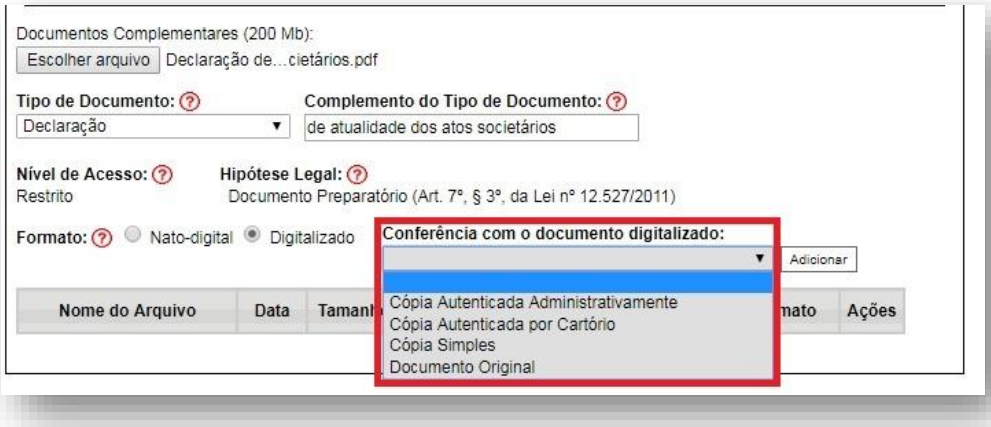
d) Insert "**current of corporate acts**" in the "**Complement of the document type**" field:



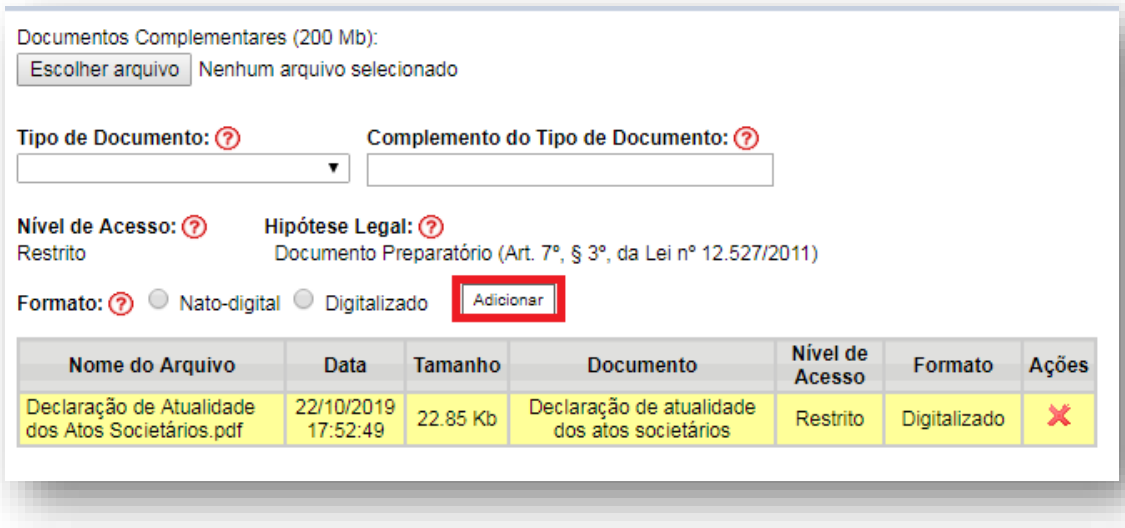
e) Select the **"Scanned"** format, as instructed in step 4.1.9,"c" of this chapter:



f) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:

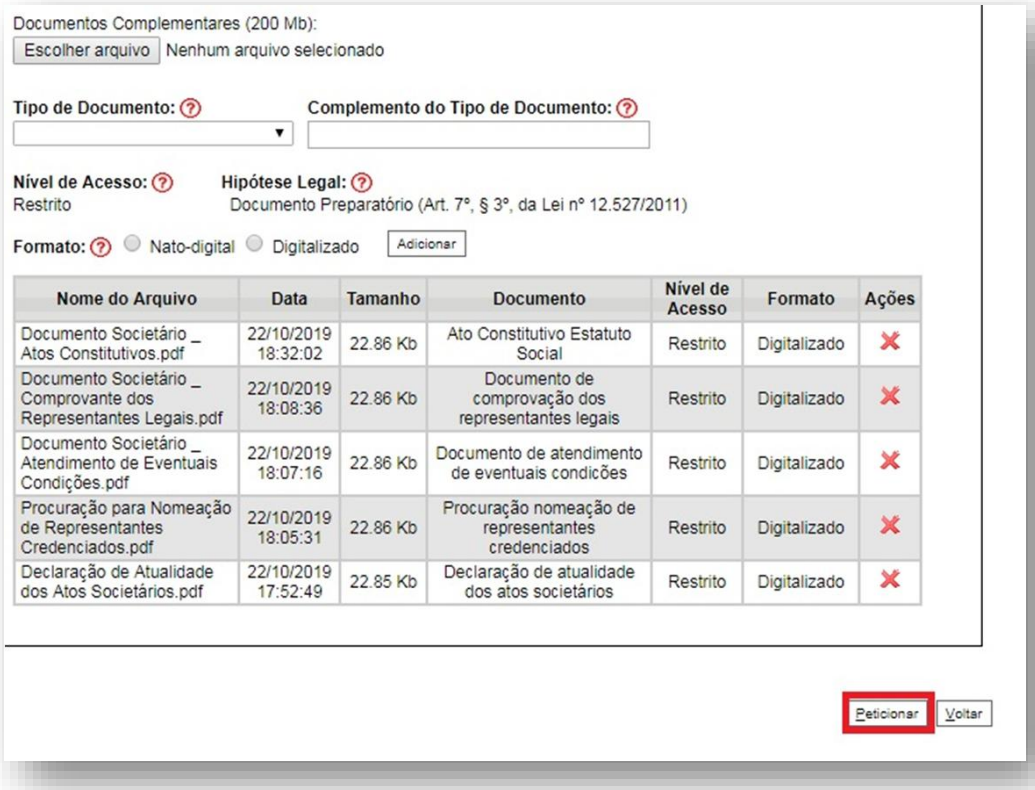


g) Click on **"Add"**:

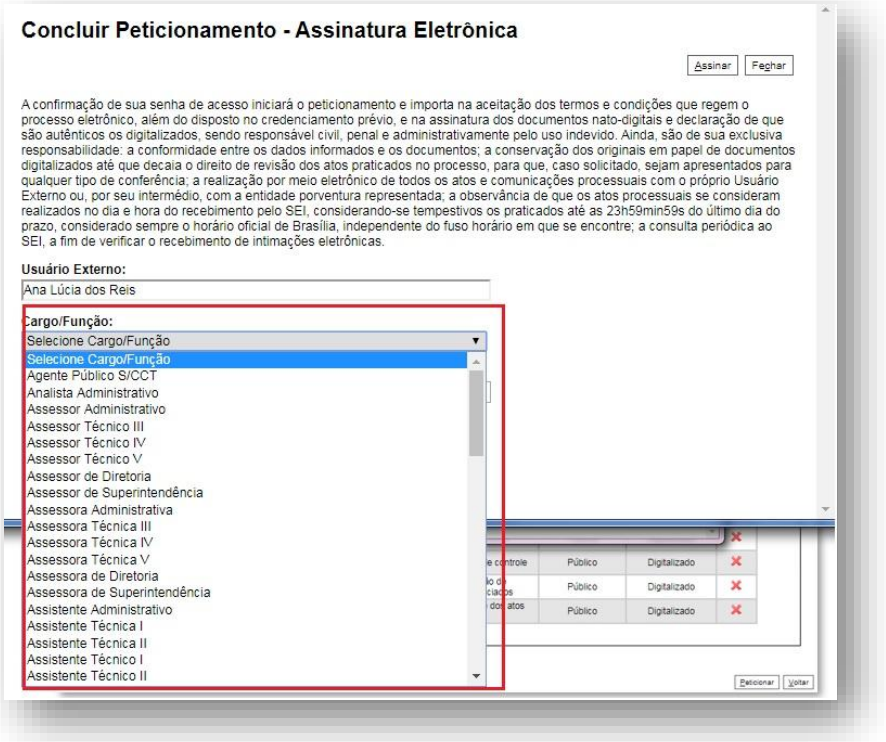


4.1.11. Request:

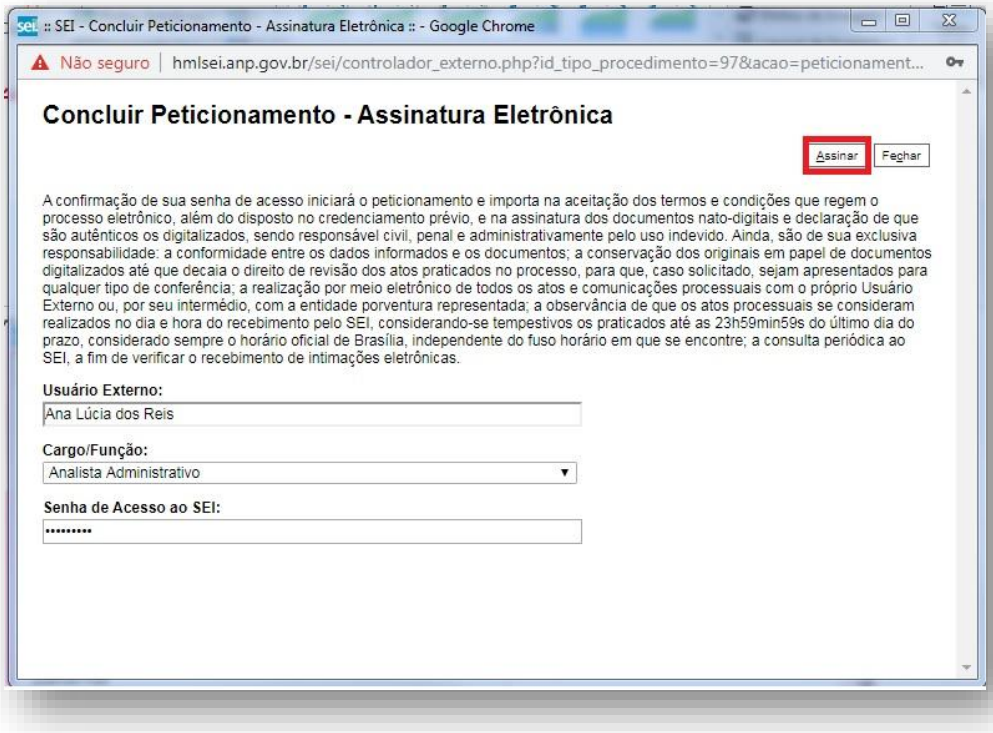
a) After uploading all the documents necessary for the instruction of the process, click on the **"Petition" button**:



b) By clicking on **"Petition",** the "Complete Petition – Electronic Signature" **screen will appear**. Select **"Position/Function"** closest to the function performed by the accredited representative and enter the password to access SEI:



c) After entering the password to access SEI, click on **"Sign"**:

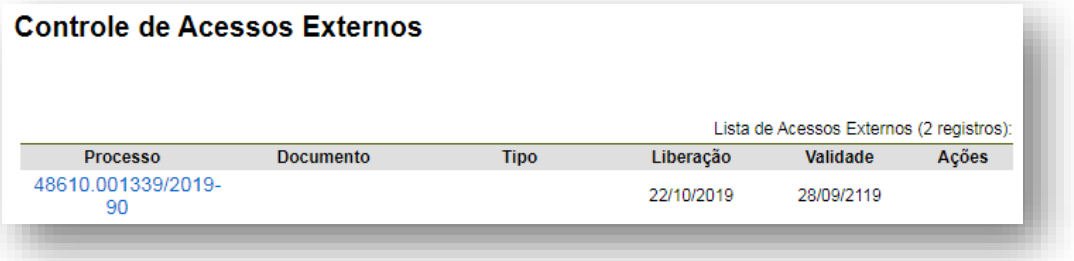


d) After validating the signature, the Electronic Protocol Receipt will appear, which must be printed / saved by clicking on the icon in **"Actions"**:

Note: This electronic receipt has legal validity as proof of sending documents, not requiring additional validation.

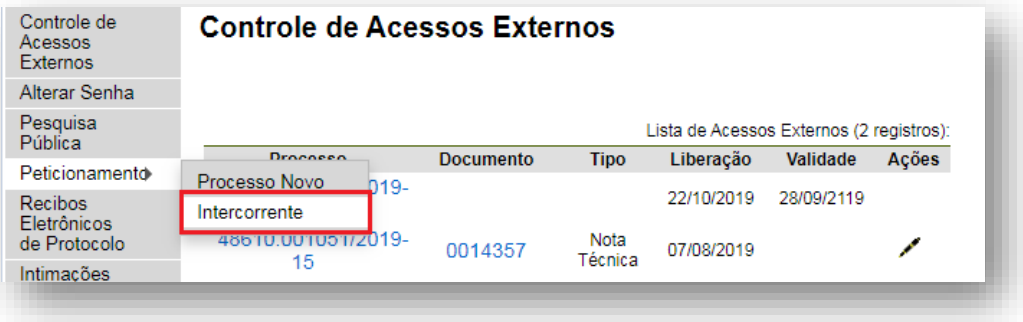


4.1.12. Process Monitoring: when clicking on the **"Close"** button or accessing SEI again, the screen below will appear to the user, where the process can be followed:

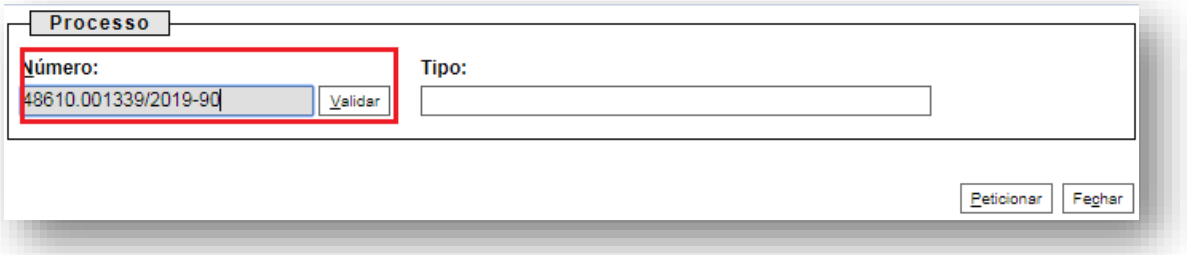


4.2. Intercurrent petition

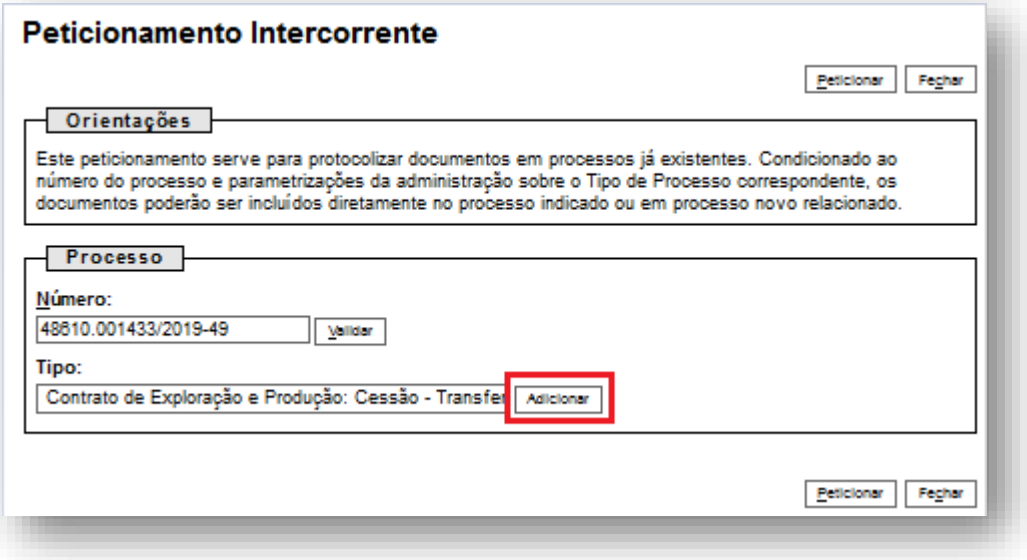
4.2.1. Click on "Petition" > "Intercurrent":



4.2.2. Enter the process number that is on the initial protocol receipt – same procedure as in the '**Authorization Request' step** and click on "**Validate**":



4.2.3. The type of Process will appear: PRODUCTION EXPLORATION CONTRACT: **ASSIGNMENT – TRANSFER OF OWNERSHIP:**



4.2.4. To petition the non-compliant documents listed by means of an official letter, follow the steps in item "**4.2. Intercurrent Petition**".

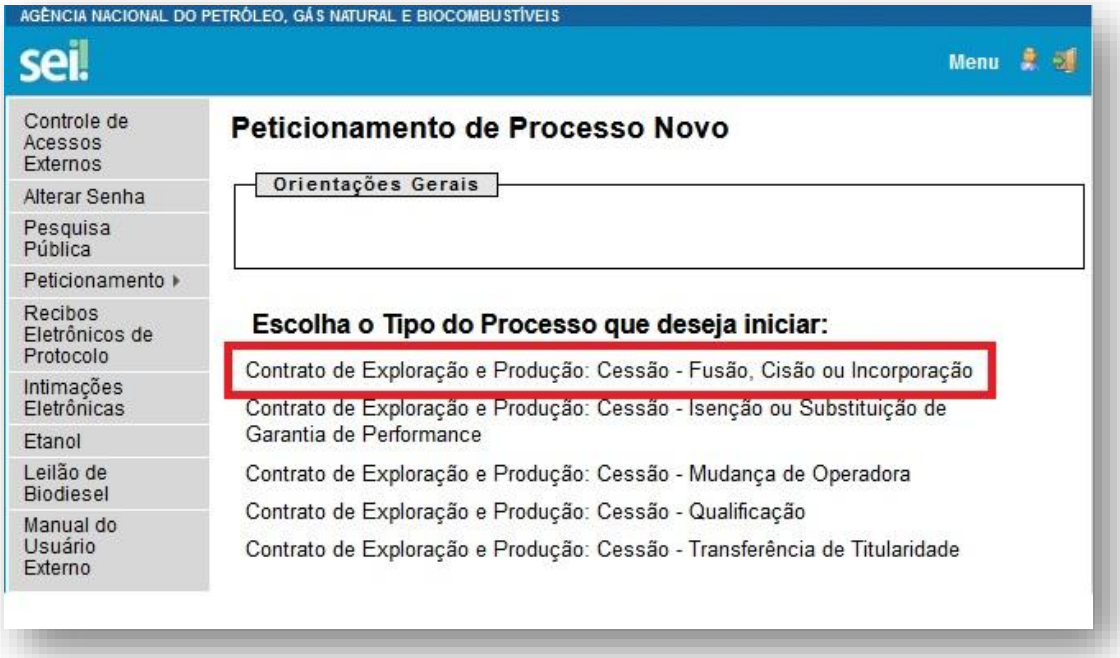
5. EXPLORATION AND PRODUCTION CONTRACT: ASSIGNMENT – MERGER, SPIN-OFF OR INCORPORATION

5.1. New request

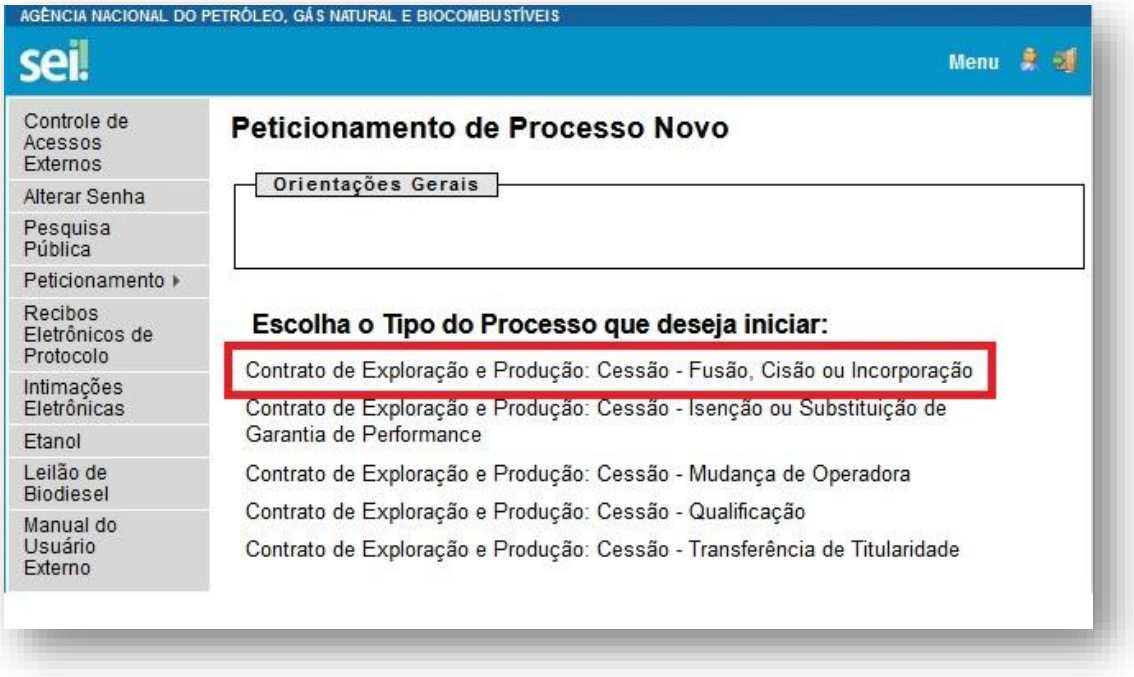
5.1.1. Click on **"Petition"** > **"New Process"**:



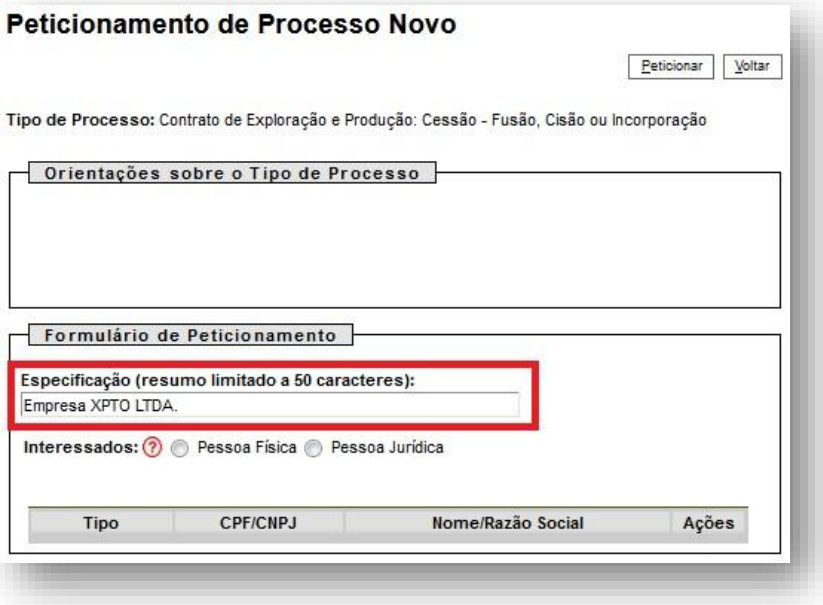
5.1.2. Choose the type of process you want to initiate: Exploration and Production Contract: **Assignment – Merger, Spin-off or Incorporation**:



5.1.3. The page below will open:



5.1.4. Fill in the "**Specification" field** with the corporate name of the legal entity:



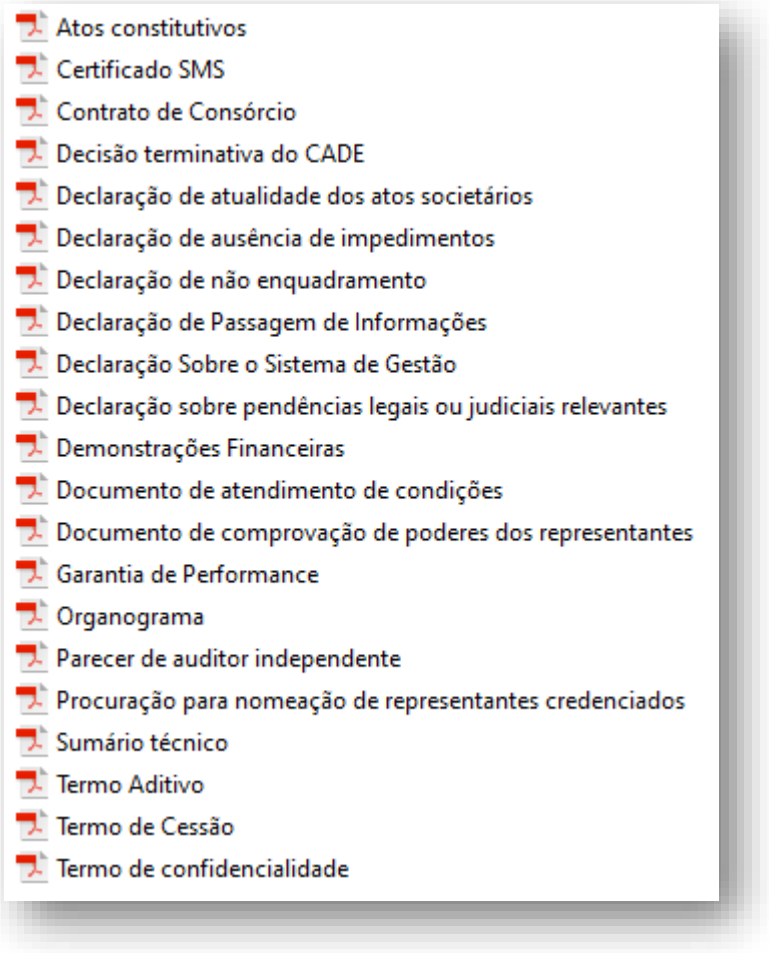
5.1.5. Select the "**Legal Entity" field**. Enter the CNPJ 02.313.673/0002-08 and click on **"Validate"** so that the name **"ANP"** appears:



5.1.6. Click on "**Add**" to include the interested party in the process, which will appear in the following table:



5.1.7. In order to standardize, name the files of the documents to be petitioned with the following nomenclature:



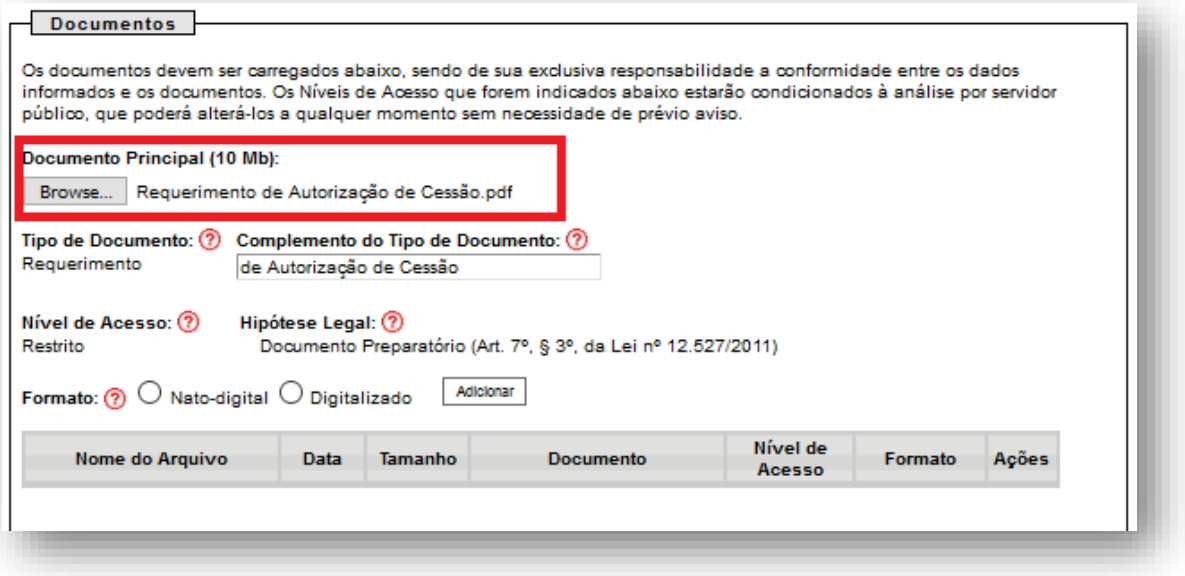
5.1.8. In SEI, the documents must be uploaded according to the specifications in the table below:

Required documents	Electronic Information System - SEI		
	Document Type	Document Type Add-on	Format
Requirement	Requirement	of Authorization of Assignment	Digitized*
Corporate documents / Articles of incorporation	Constitutive act	Bylaws or Articles of Association	Digitized
Corporate documents / Proof of the powers and names of legal representatives	Document	proof of credentials of representatives	Digitized
Corporate documents / Documents proving the fulfillment of any conditions for the exercise of the powers of the representatives	Document	of condition fulfillment	Digitized
Statement of timeliness of corporate acts	Statement	current status of corporate acts	Digitized
Power of Attorney for Appointment of Accredited Representatives	Power of attorney	appointment of accredited representatives	Digitized*

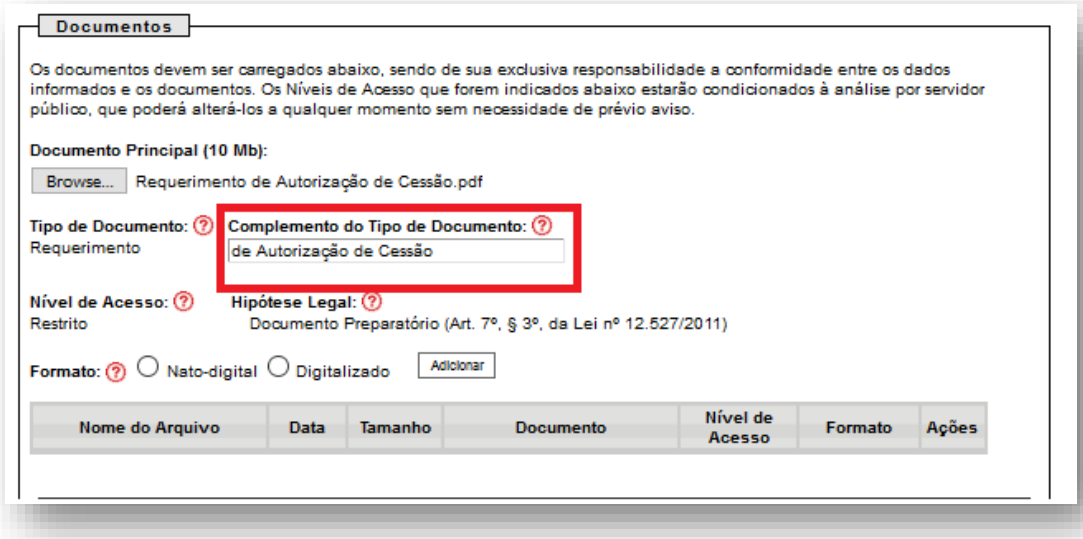
* The required documents must be **printed, dated, signed** by the accredited or legal representative, as the case may be, and **scanned** for forwarding through SEI.

5.1.9. Filling in the "Main Document" field:

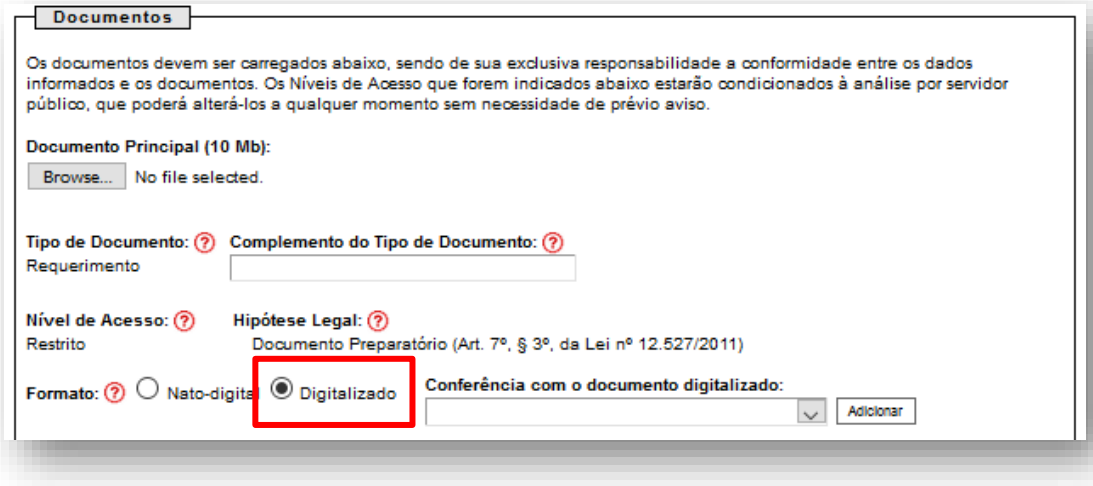
a) Click on "**Choose file**" and search for **Assignment Authorization Application** in the local directory (the main document must always be the **Application**):



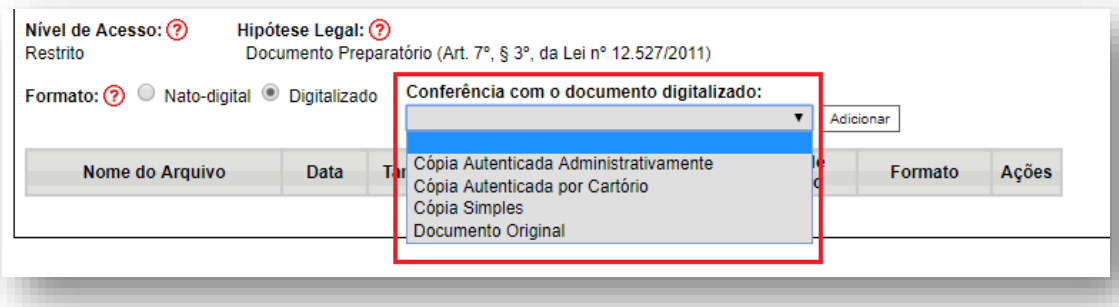
b) Fill in the "**Complement of the document type**" field, with the text "**of assignment authorization**":



c) Check the **"Scanned" checkbox**:



d) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:



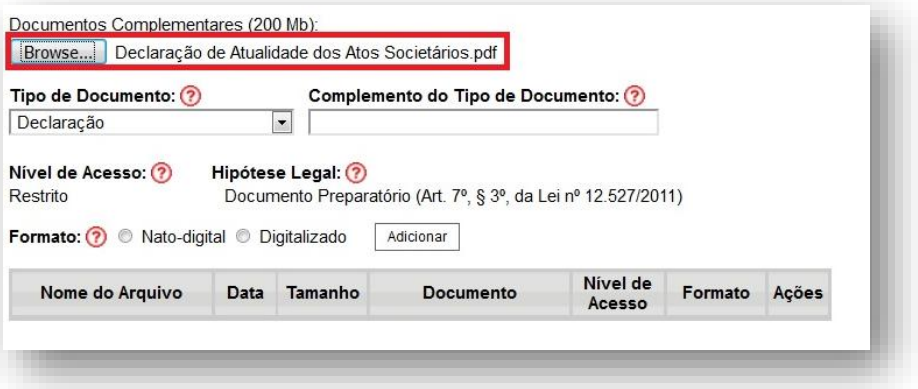
e) Click on "Add":



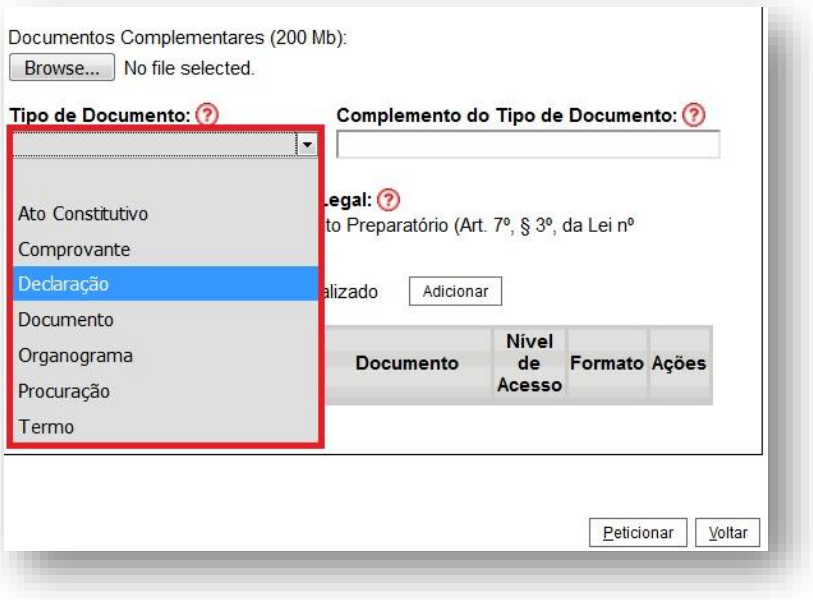
5.1.10. Submission of the **"Complementary Documents",** which are the other documents necessary for the procedural instruction specified in this manual. Example: Requesting a **"Declaration of Timeliness of Corporate Acts"**:

a) Fill in the document according to the template available in https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/gestao-de-contratos-de-e-p/cessao-de-contratos/procedimento, print it, sign it and scan it.

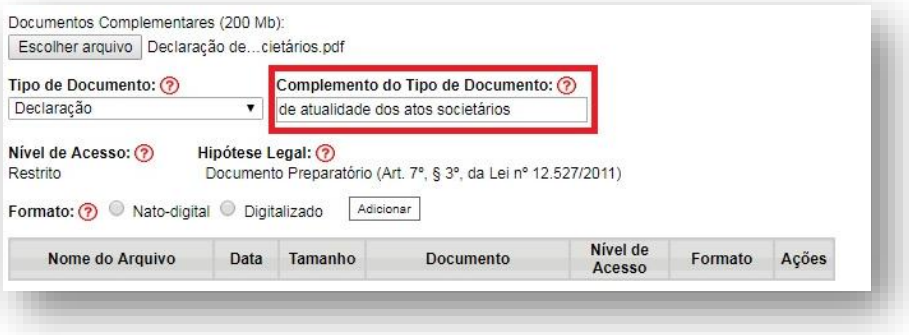
b) Click on "Choose file" and search for the 'Statement of actuality of corporate acts' in the local directory:



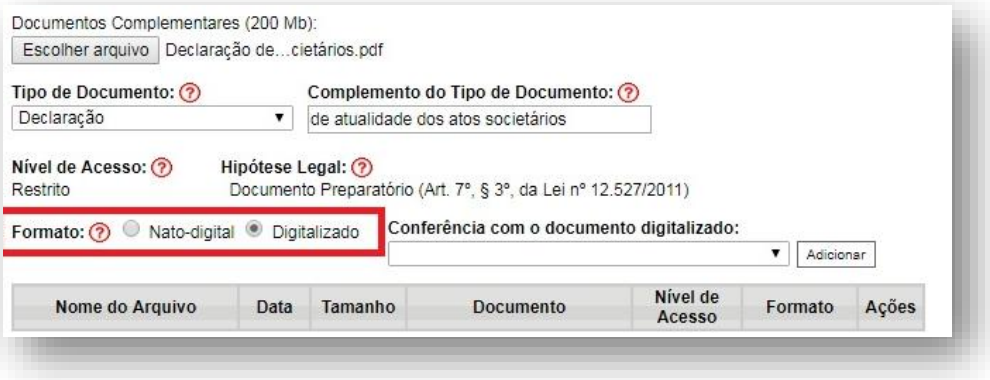
c) Select the "**Declaration**" document type:



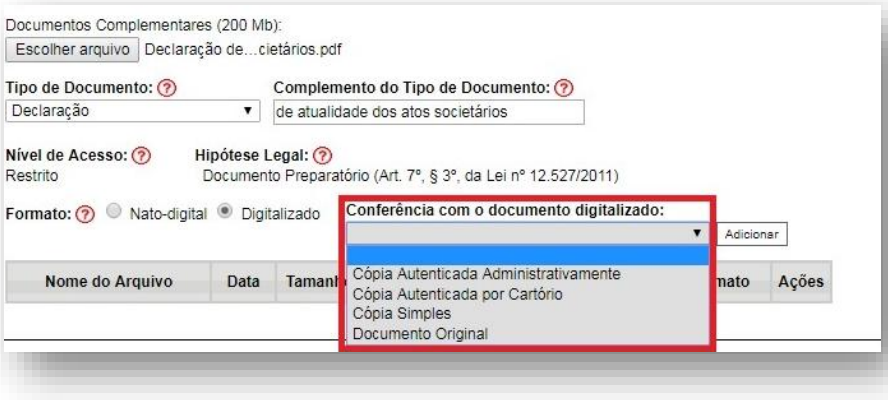
d) Insert "current of corporate acts" in the "Complement of the document type" field:



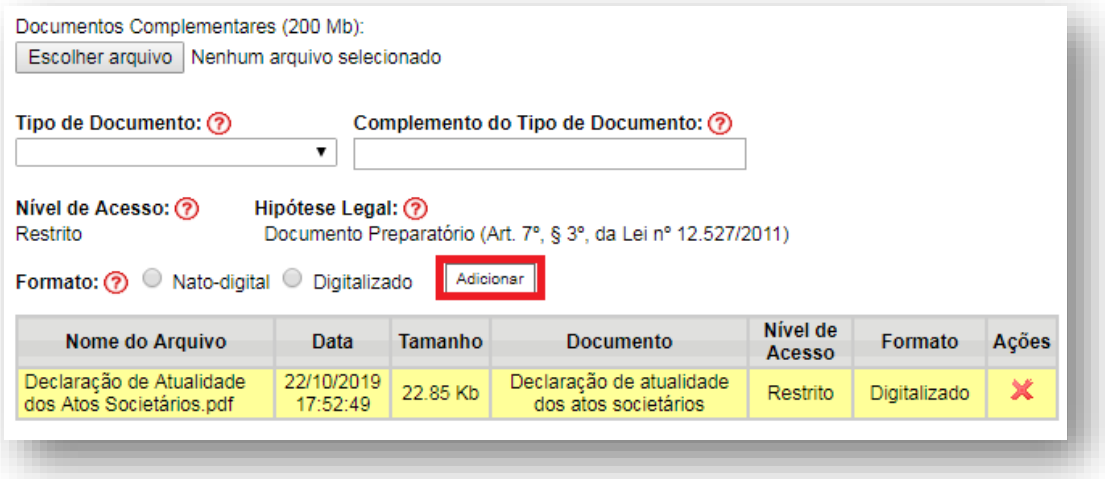
e) Select the **"Scanned" format**, as instructed in step 5.1.9." c" of this chapter:



f) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:

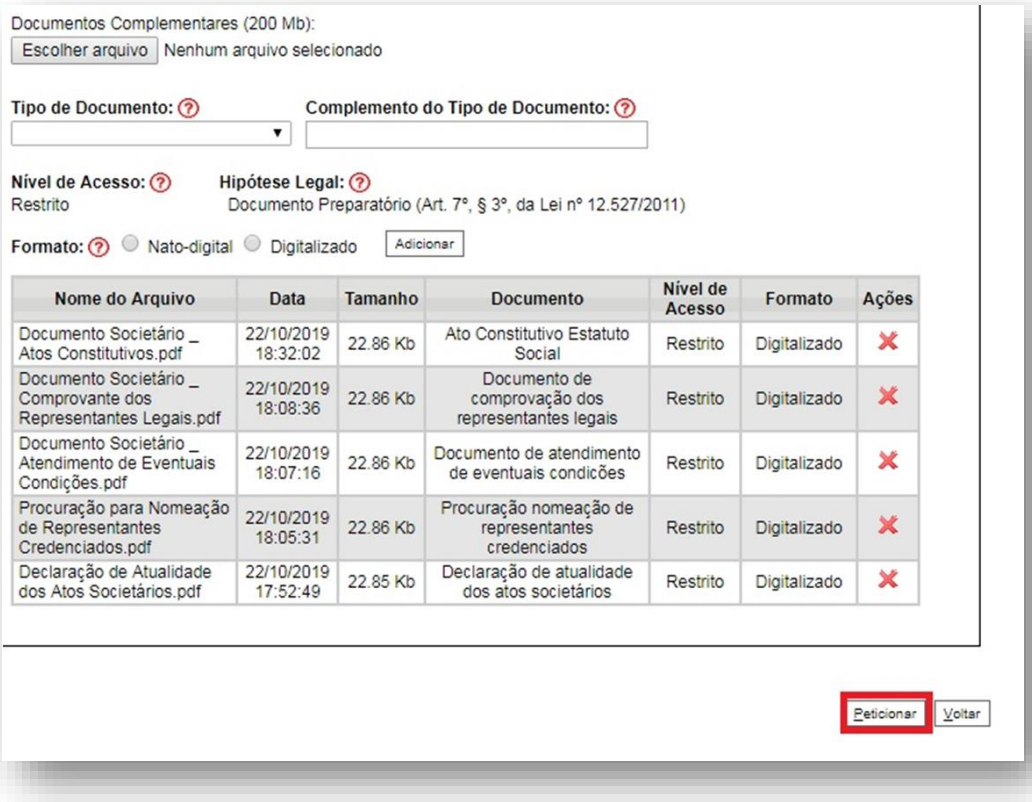


g) Click on **"Add"**:

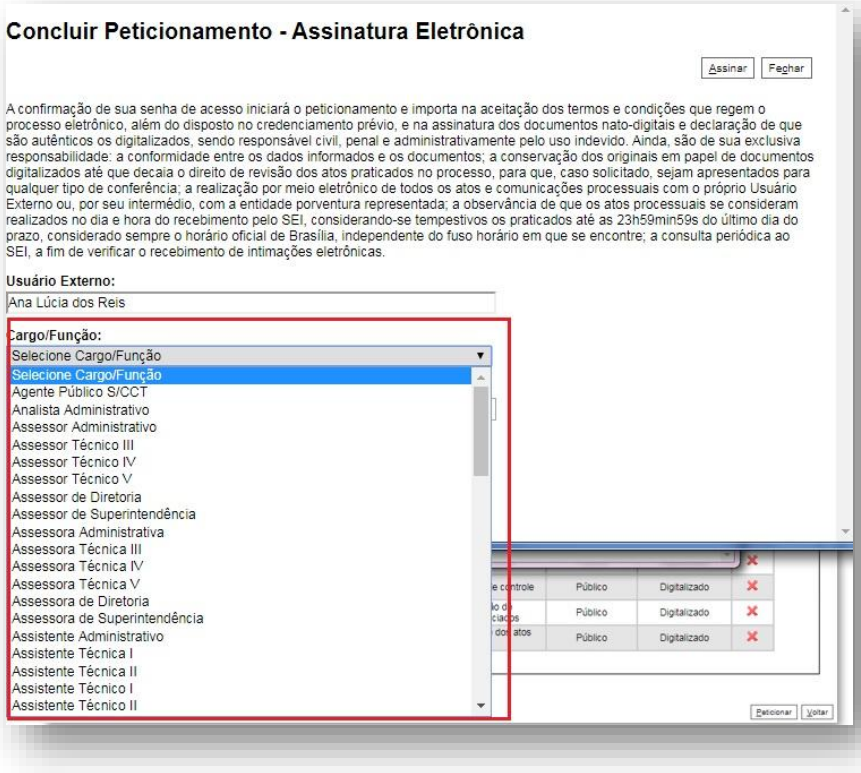


5.1.11. Request:

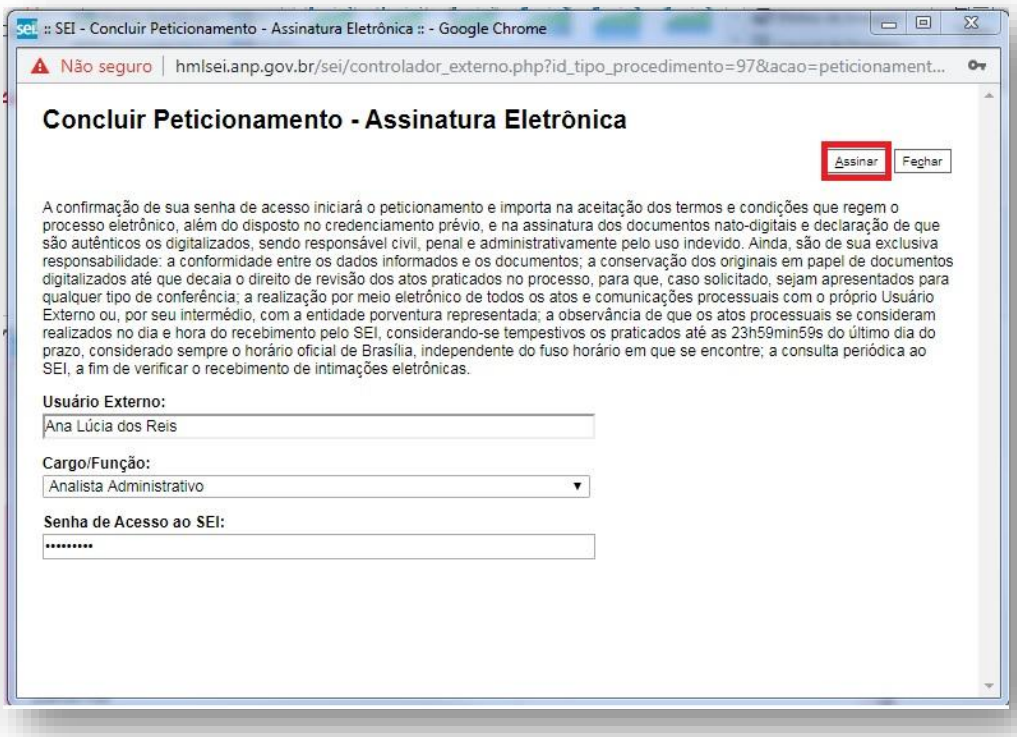
a) After uploading all the documents necessary for the instruction of the process, click on the **"Petition" button**:



b) By clicking on **"Petition",** the "Complete Petition – Electronic Signature**" screen will appear.** Select **"Position/Function"** closest to the function performed by the accredited representative and enter the password to access SEI:



c) After entering the password to access SEI, click on **"Sign"**:



d) After validating the signature, the Electronic Protocol Receipt will appear, which must be printed/saved by clicking on the icon in **"Actions"**:

Note: This electronic receipt has legal validity as proof of sending documents, not requiring additional validation.

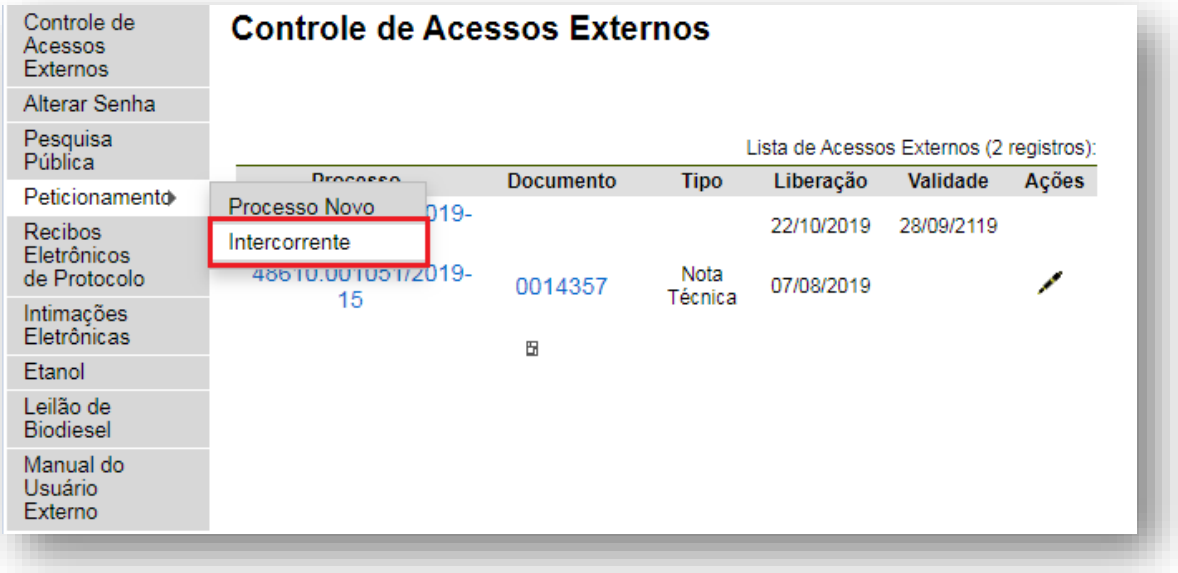


5.1.12. Process Monitoring: when clicking on the **"Close"** button or accessing SEI again, the screen below will appear to the user, where the process can be followed:

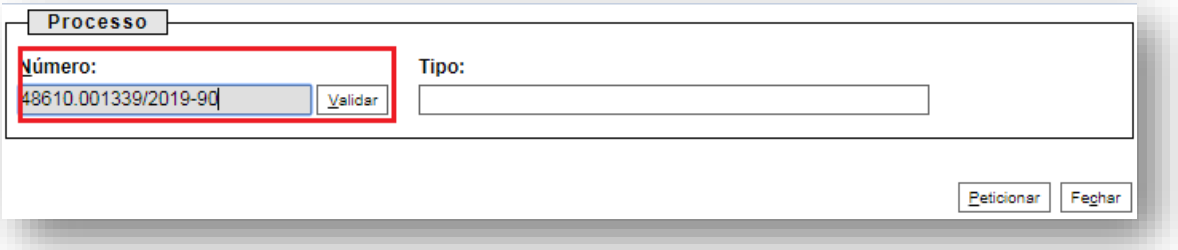


5.2. Intercurrent Petition

5.2.1. Click on "Petition> Intercurrent":



5.2.2. Enter the process number that is on the initial protocol receipt – the same procedure as in the **Authorization Application step –** and click on **Validate**:



5.2.3. The type of Process will appear: PRODUCTION EXPLORATION CONTRACT: **ASSIGNMENT – MERGER, SPIN-OFF OR INCORPORATION:**

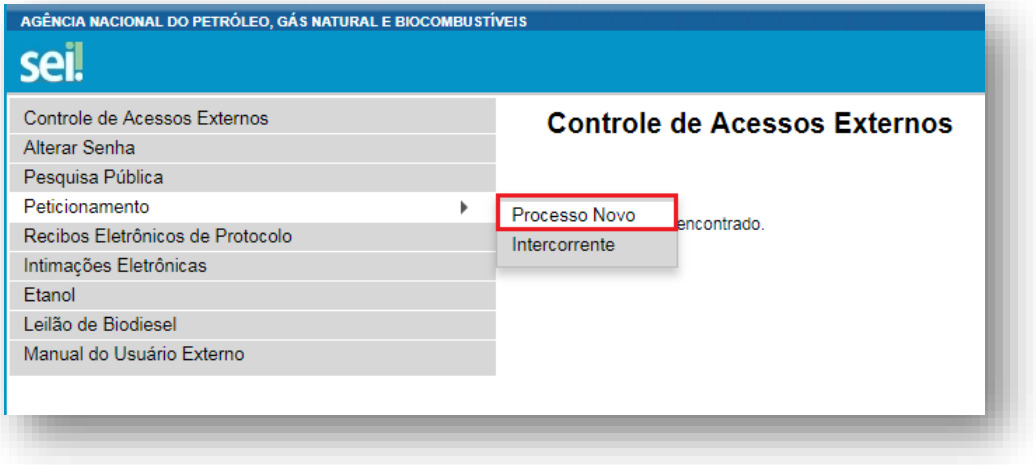


5.2.4. To petition the non-compliant documents listed by means of an official letter, follow the steps in item "**5.2. Intercurrent Petition**".

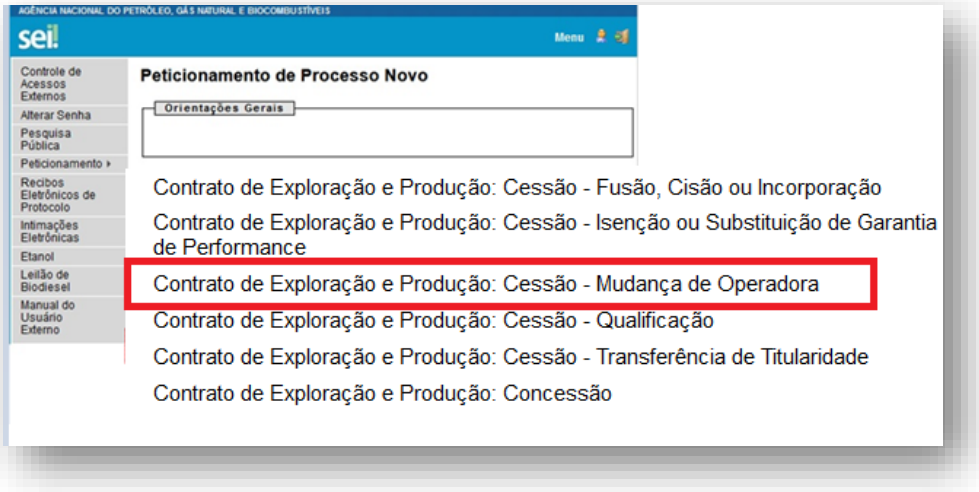
6. EXPLORATION AND PRODUCTION CONTRACT: CHANGE OF OPERATOR

6.1. New request

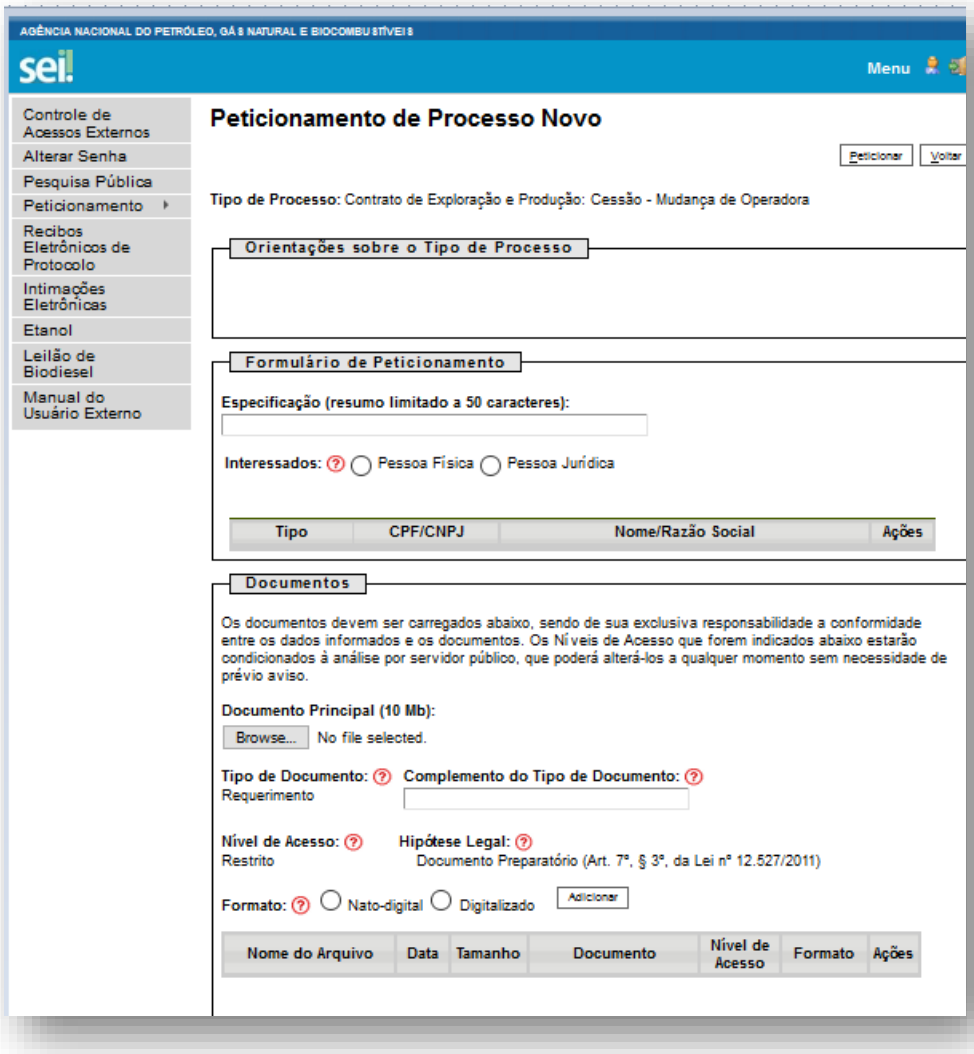
6.1.1. Click on "Petition" > "**New Process**":



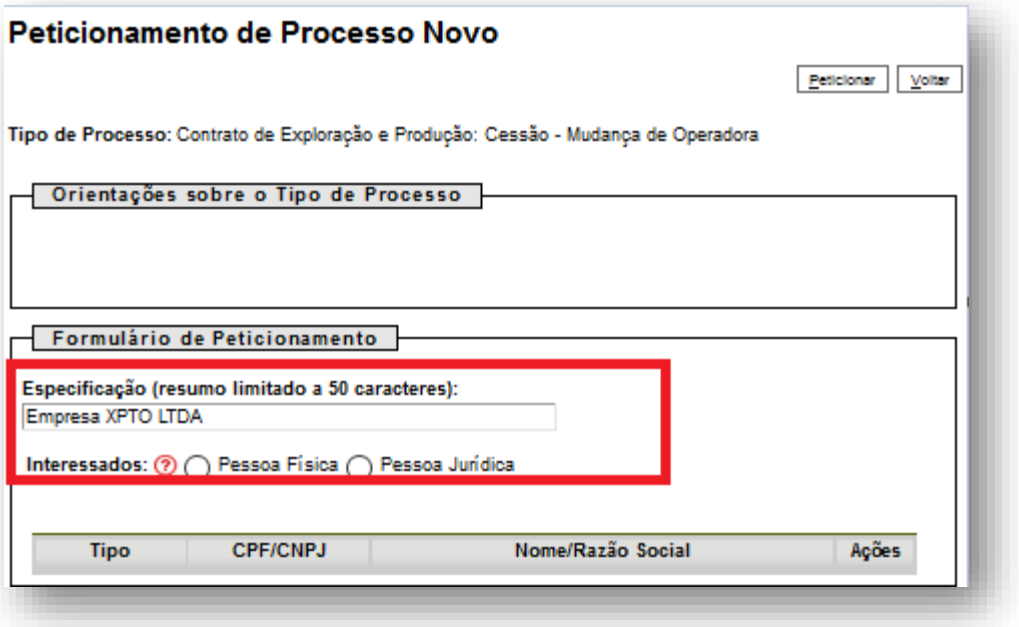
6.1.2. Choose the type of process you want to start: Exploration and Production Contract: **Assignment – Change of Operator**:



6.1.3. The page below will open:



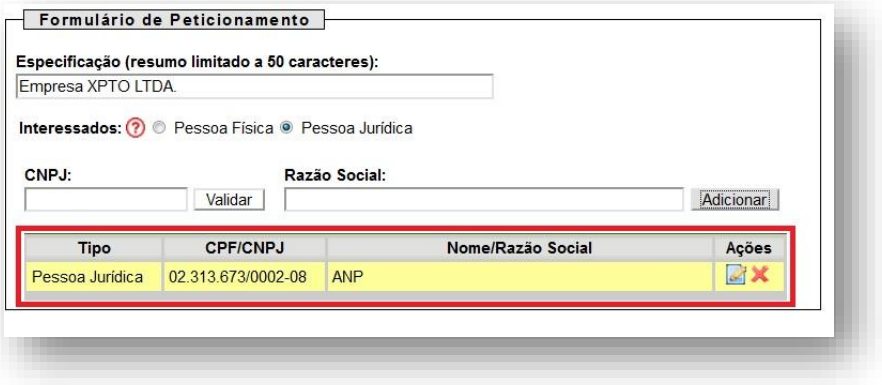
6.1.4. Fill in the **Specification field** with the corporate name of the legal entity:



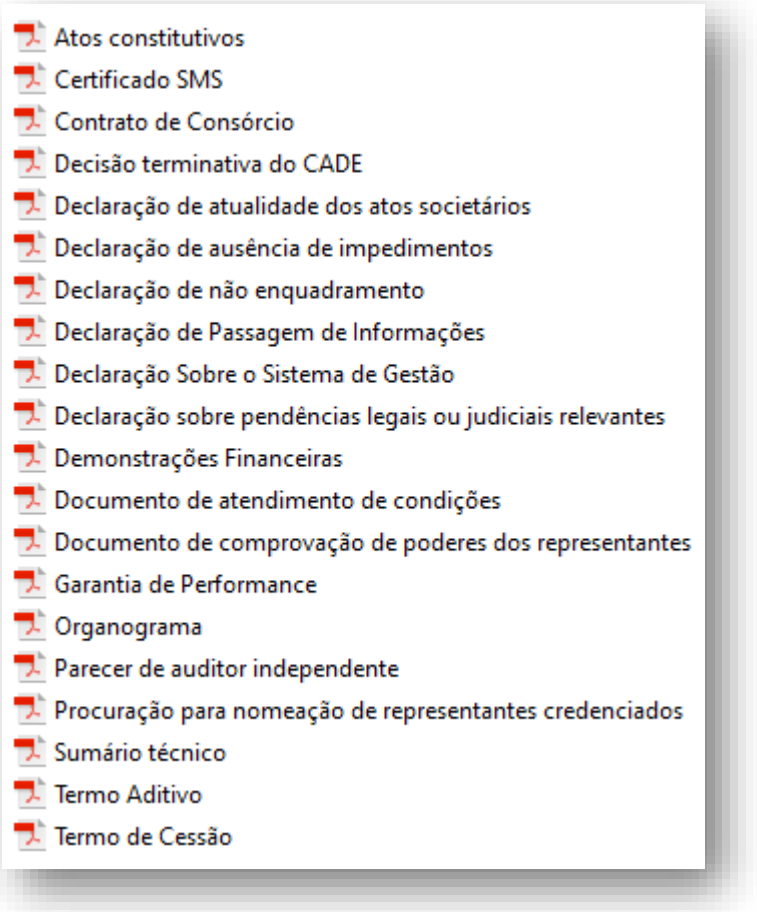
6.1.5. Select the "**Legal Entity" field**. Enter the CNPJ 02.313.673/0002-08 and click on **"Validate"** so that the name **"ANP"** appears:



6.1.6. Click on **"Add"** to include the interested party in the process, which will appear in the following table:



6.1.7. In order to standardize, name the files of the documents to be petitioned with the following nomenclature:



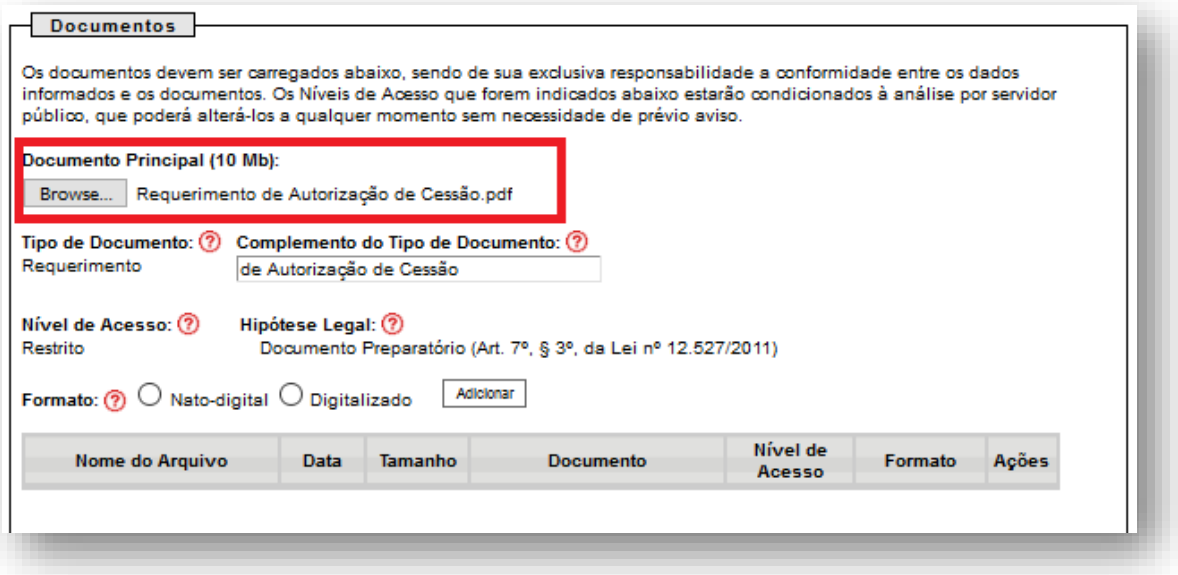
6.1.8. In SEI, the documents must be uploaded according to the specifications in the table below:

Required documents	Electronic Information System - SEI		
	Document Type	Document Type Add-on	Format
Requirement	Requirement	of Authorization of Assignment	Digitized*
Corporate documents / Articles of incorporation	Constitutive act	Bylaws or Articles of Association	Digitized
Corporate documents / Proof of the powers and names of legal representatives	Document	proof of credentials of representatives	Digitized
Corporate documents / Documents proving the fulfillment of any conditions for the exercise of the powers of the representatives	Document	of condition fulfillment	Digitized
Statement of timeliness of corporate acts	Statement	current status of corporate acts	Digitized
Power of Attorney for Appointment of Accredited Representatives	Power of attorney	appointment of accredited representatives	Digitized*

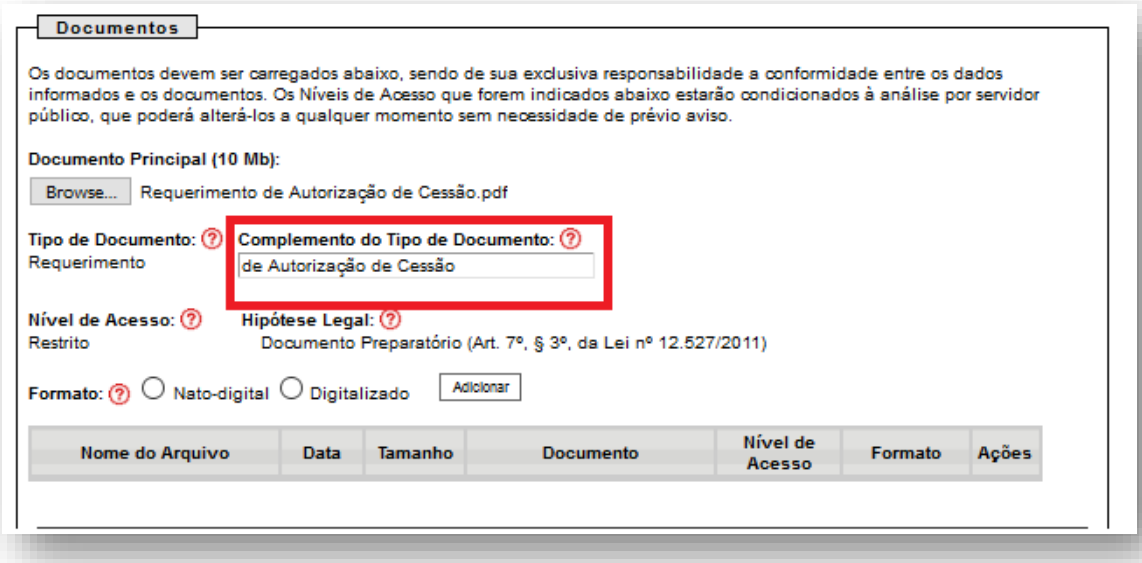
***** The required documents must be **printed, dated, signed** by the accredited or legal representative, as the case may be, and **scanned** for forwarding through SEI.

6.1.9. Filling in the **"Main Document" field**:

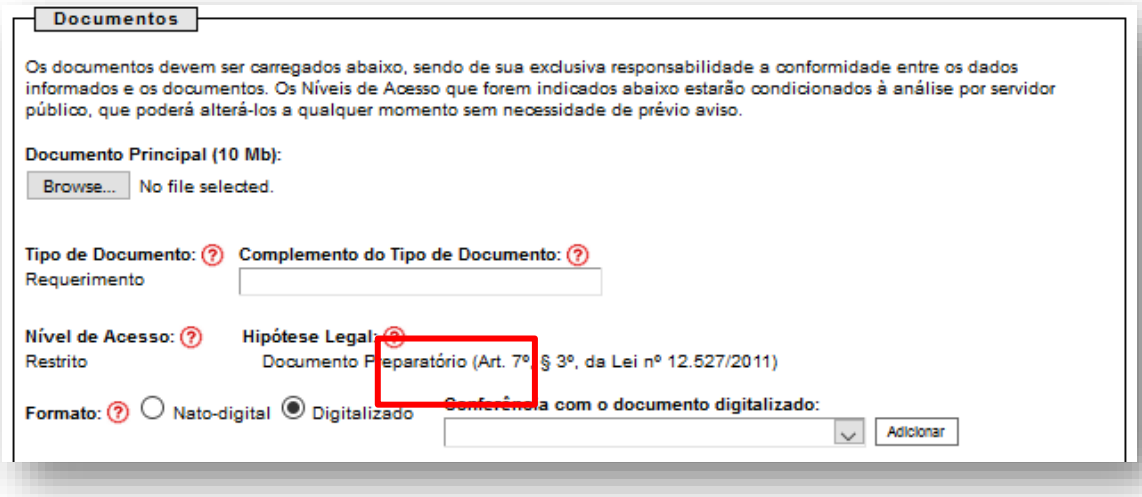
a) Click on "**Choose file**" and search for **Assignment Authorization Application** in the local directory (the main document must always be the **Application**):



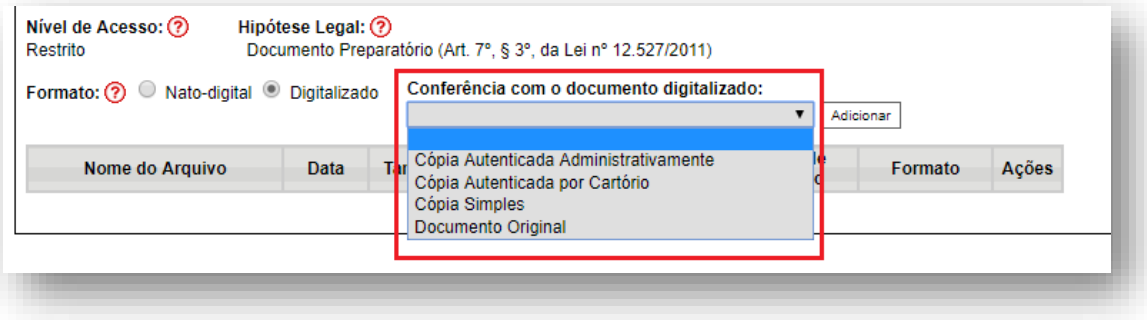
b) Fill in the "Complement of the document type" field, with the text "of assignment authorization":



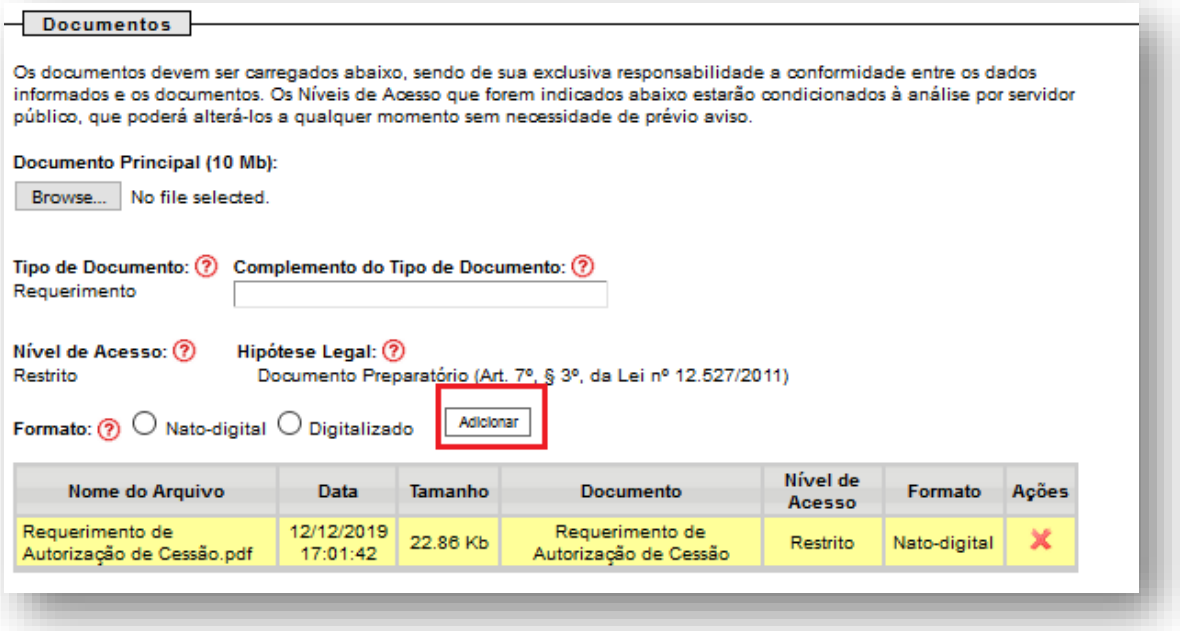
c) Check the **"Scanned" checkbox**:



d) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:



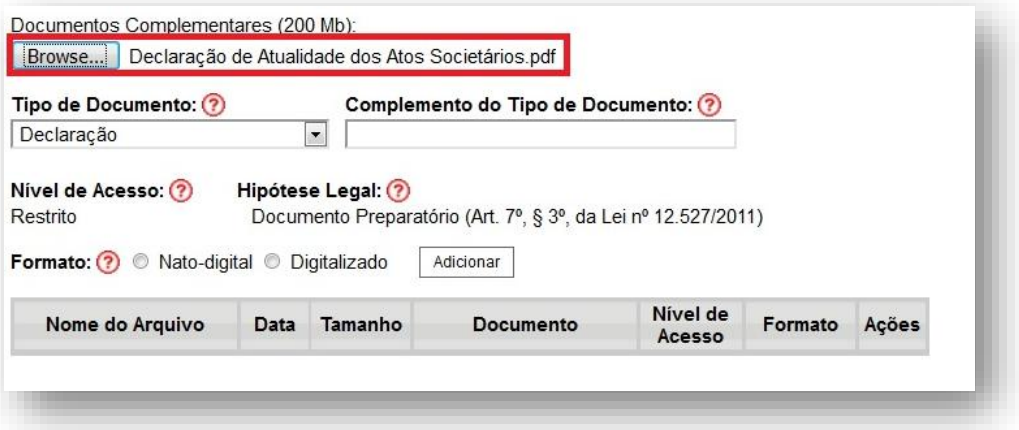
e) Click on "Add":



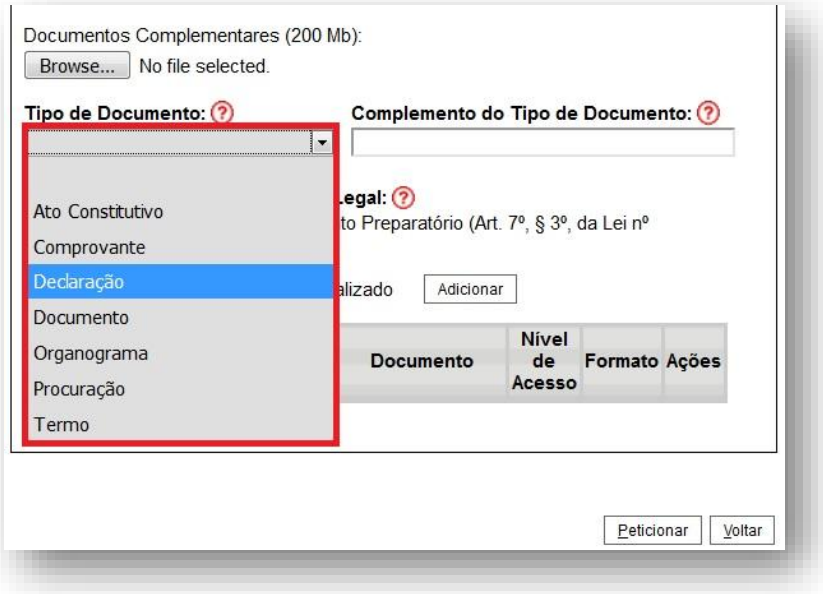
6.1.10. Submission of the "Complementary Documents", which are the other documents necessary for the procedural instruction specified in this manual. Example: Requesting a "Declaration of Timeliness of Corporate Acts":

a) Fill in the document according to the template available in https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/gestao-de-contratos-de-e-p/cessao-de-contratos/procedimento, print it, sign it and scan it.

b) Click on "Choose file" and search for the 'Statement of actuality of corporate acts' in the local directory:



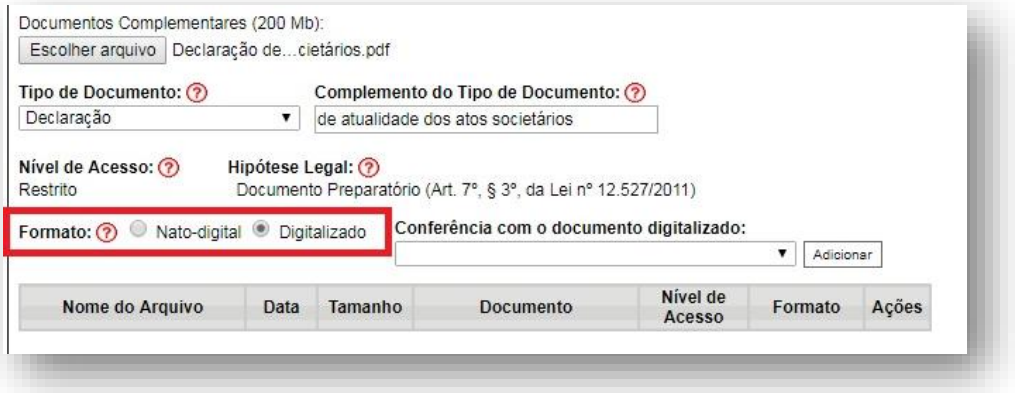
c) Select the "**Declaration**" document type:



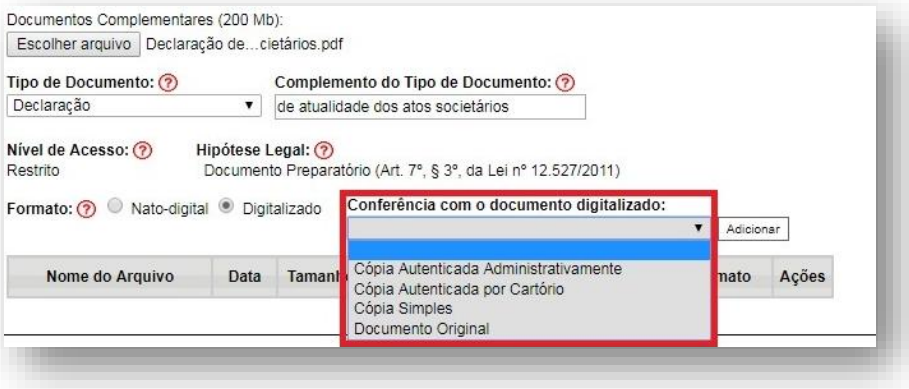
d) Insert "current of corporate acts" in the "Complement of the document type" field:



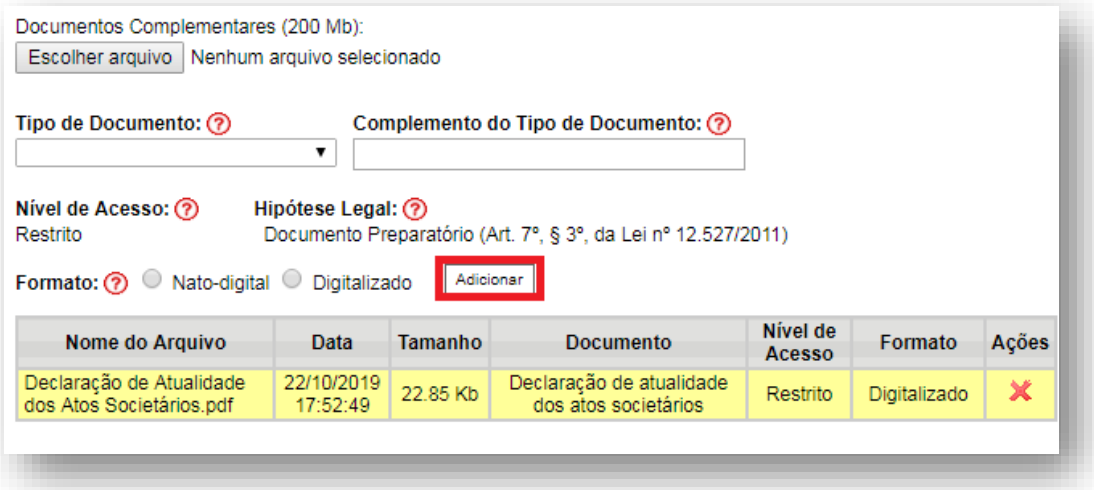
e) Select the **"Scanned"** format, as instructed in step 6.1.9,"c" of this chapter:



f) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:

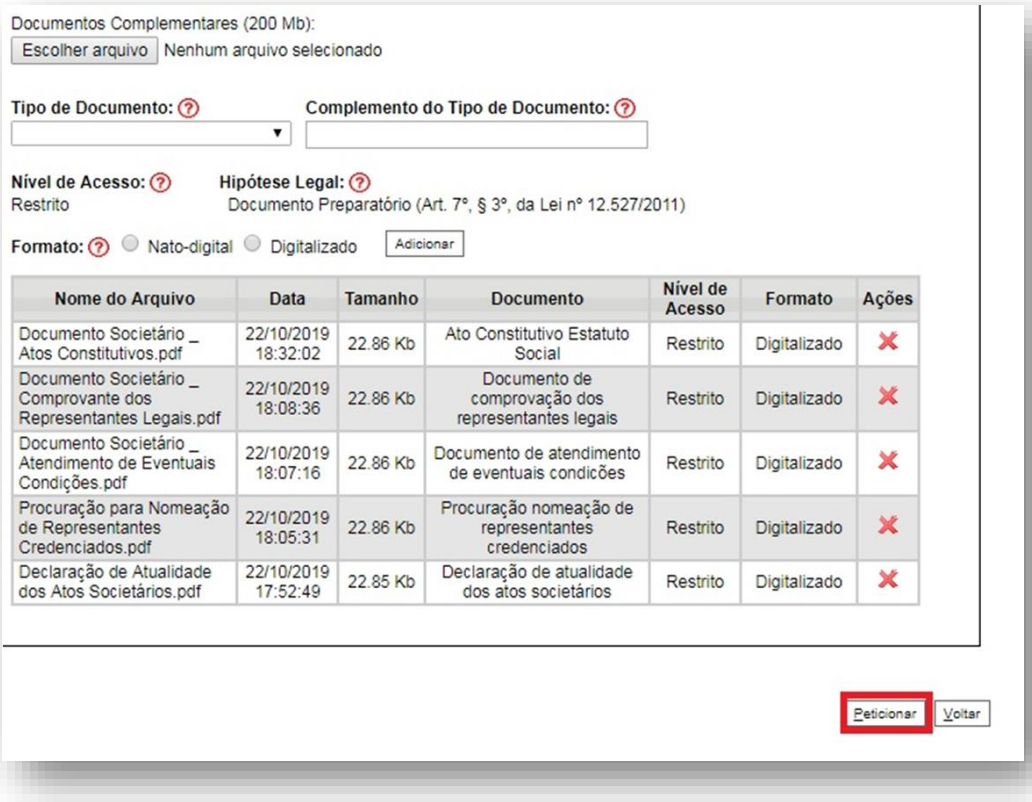


g) Click on "**Add**":

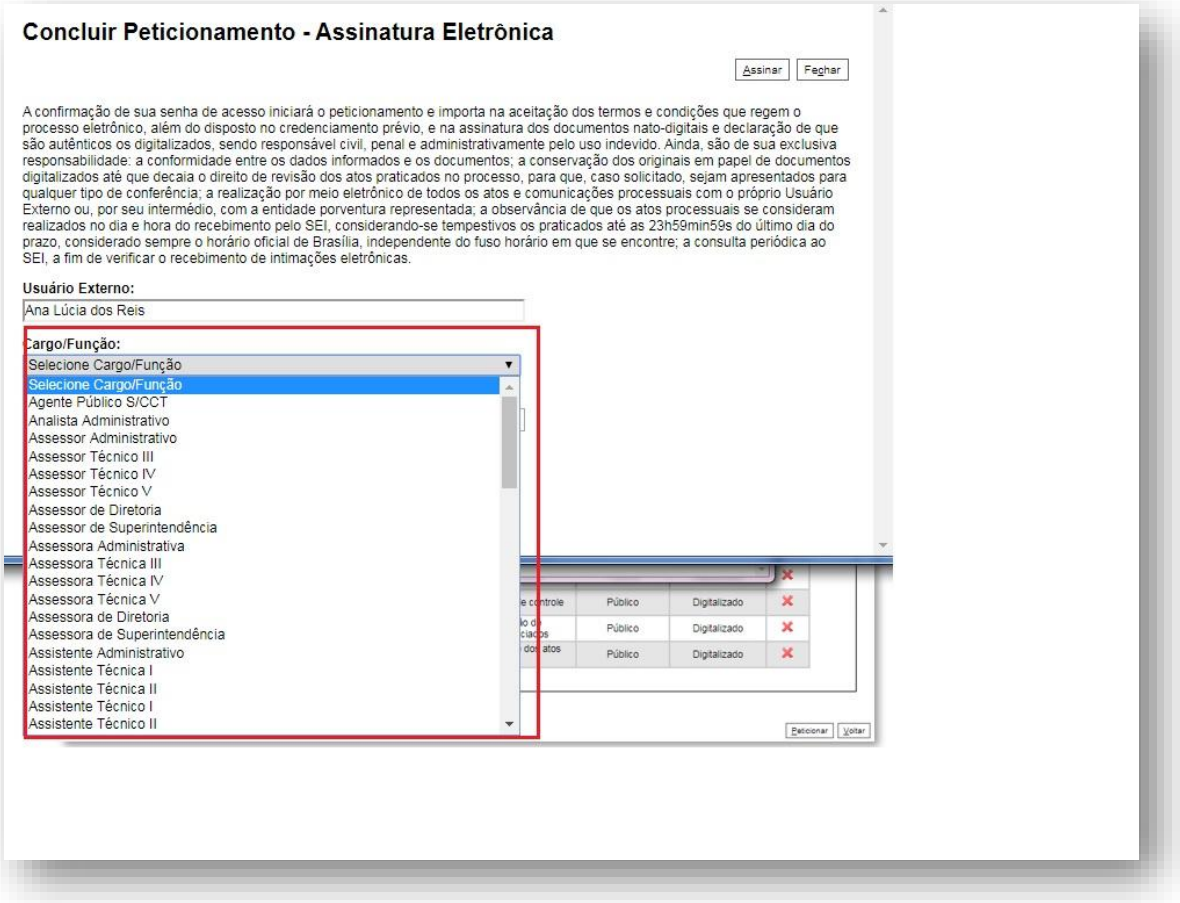


6.1.11. Request:

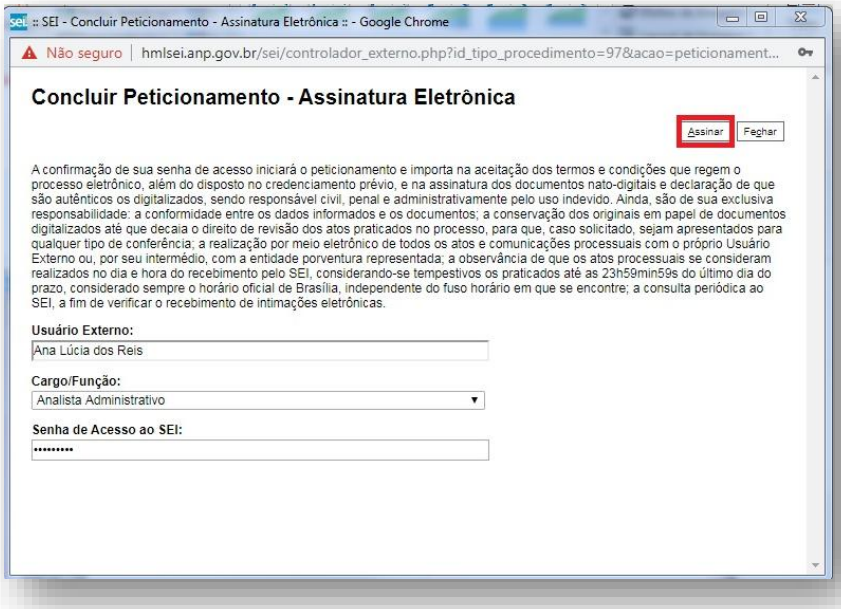
a) After uploading all the documents necessary for the instruction of the process, click on the **"Petition" button**:



b) By clicking on **"Petition",** the "Complete Petition – Electronic Signature**" screen will appear.** Select **"Position/Function"** closest to the function performed by the accredited representative and enter the password to access SEI:



c) After entering the password to access SEI, click on **"Sign"**:

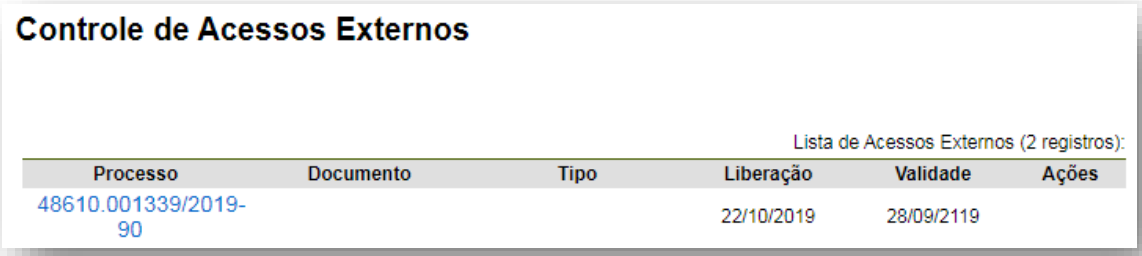


d) After validating the signature, the Electronic Protocol Receipt will appear, which must be printed/saved by clicking on the icon in **"Actions"**:

Note: This electronic receipt has legal validity as proof of sending documents, not requiring additional validation.

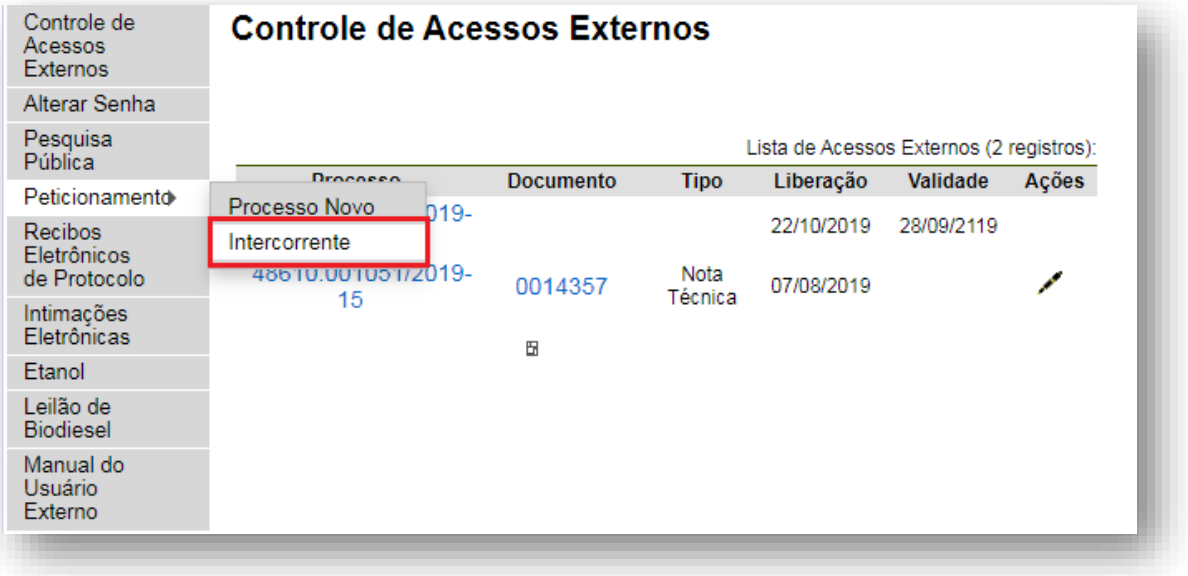


6.1.12. Process Monitoring: when clicking on the **"Close"** button or accessing SEI again, the screen below will appear to the user, where the process can be followed:

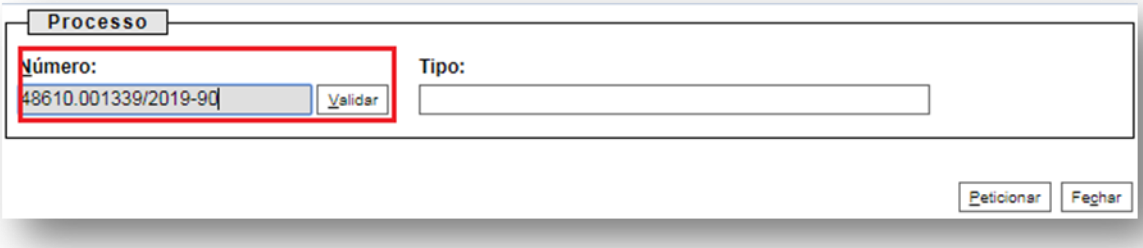


6.2. Intercurrent Petition

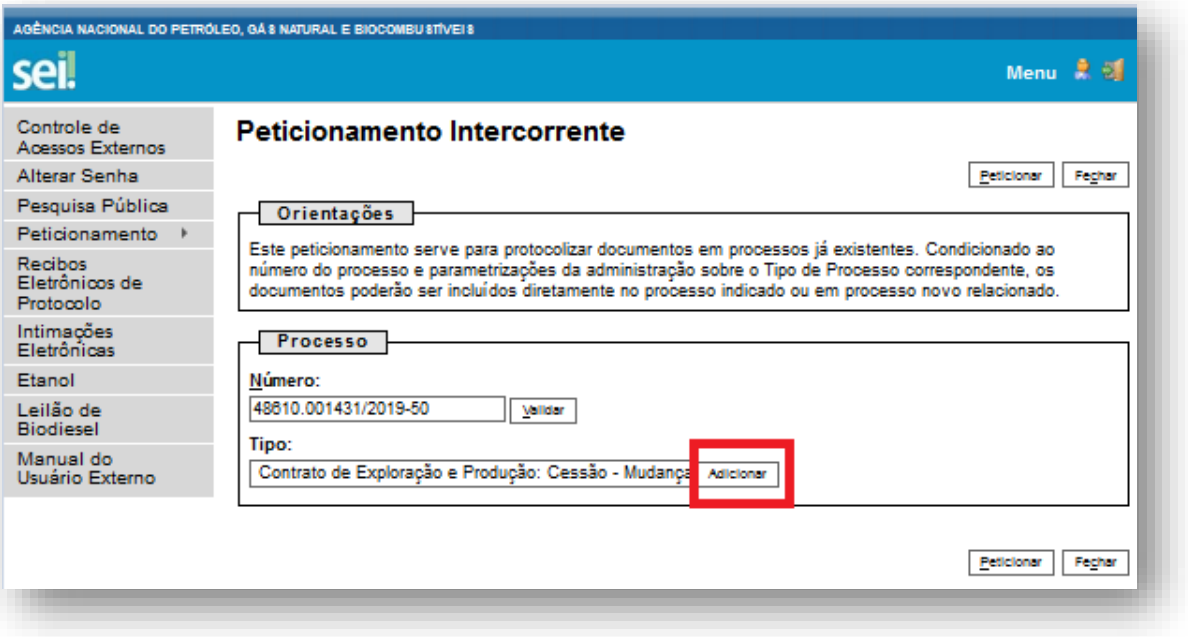
6.2.1. Click on "Petition> Intercurrent":



6.2.2. Enter the process number that is on the initial protocol receipt – the same procedure as in the **Authorization Application step –** and click on **Validate**:



6.2.3. The type of Process will appear: PRODUCTION EXPLORATION CONTRACT: **ASSIGNMENT – CHANGE OF OPERATOR**:

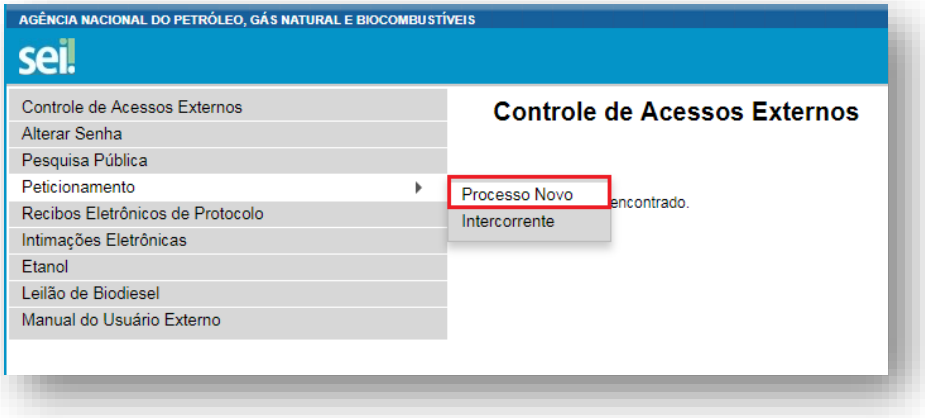


6.2.4. To petition the non-compliant documents listed by means of an official letter, follow the steps in item "**6.2. Intercurrent Petition**".

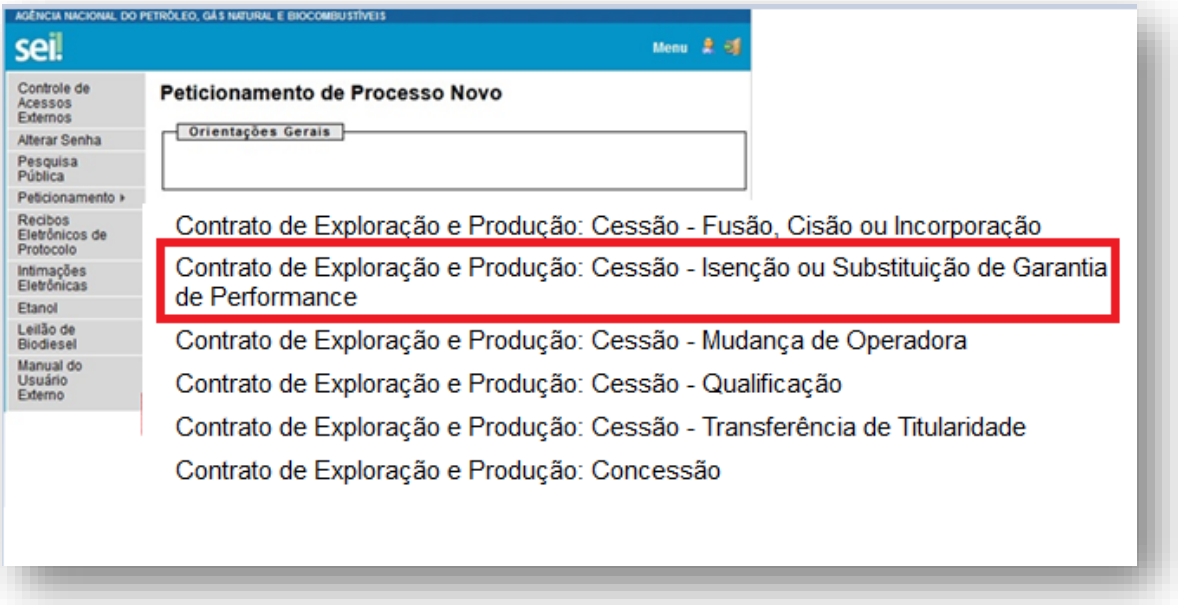
7. EXPLORATION AND PRODUCTION CONTRACT: ASSIGNMENT – EXEMPTION OR REPLACEMENT OF PERFORMANCE GUARANTEE

7.1. New request

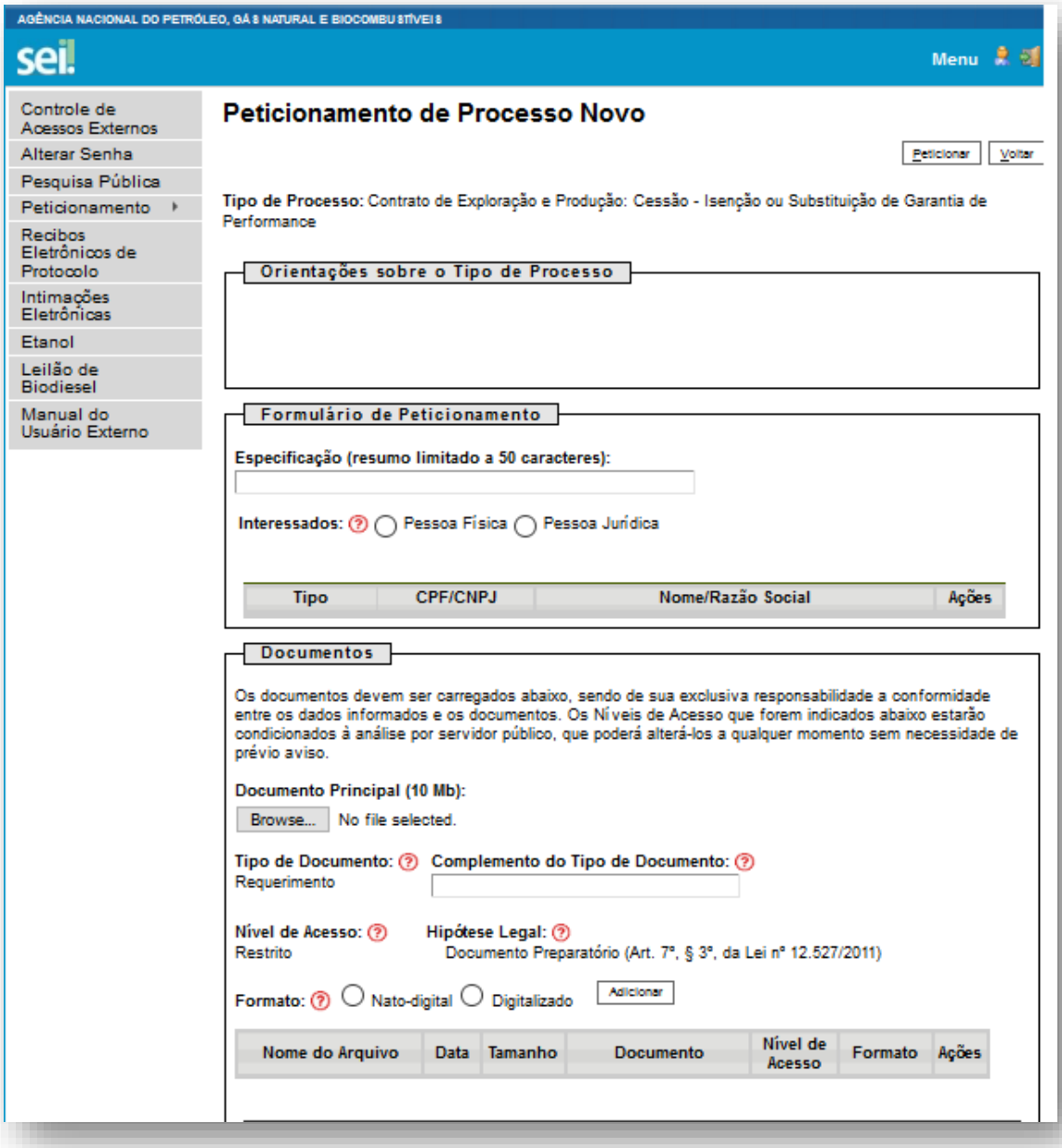
7.1.1. Click on "Petition" > "**New Process**":



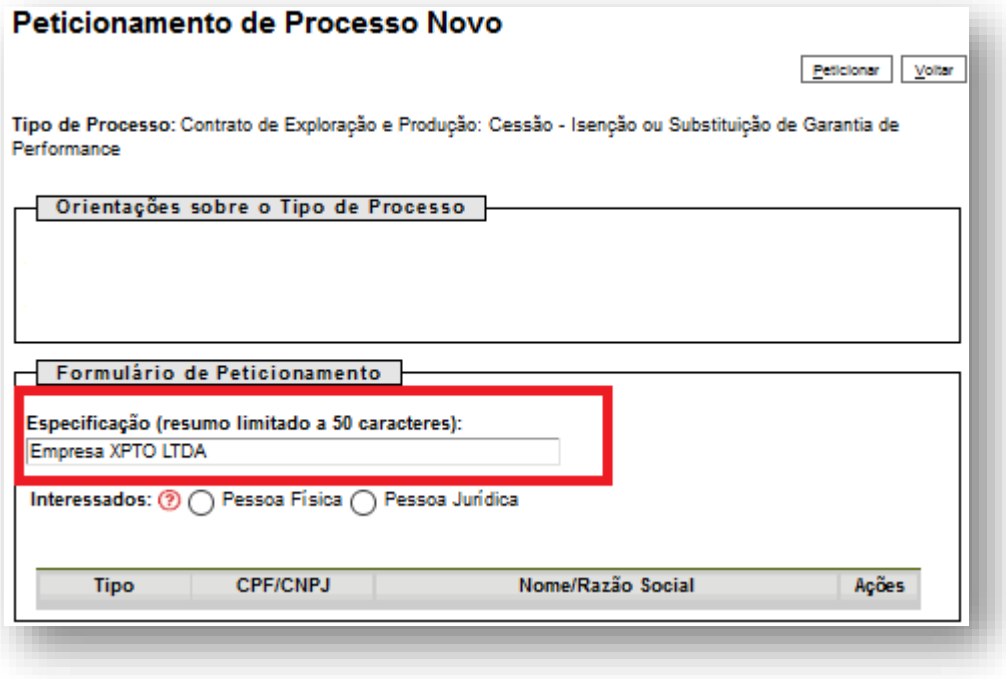
7.1.2. Choose the type of process you want to start: Exploration and Production Contract: **Assignment – Exemption or Replacement of Performance Guarantee**:



7.1.3. The page below will open:



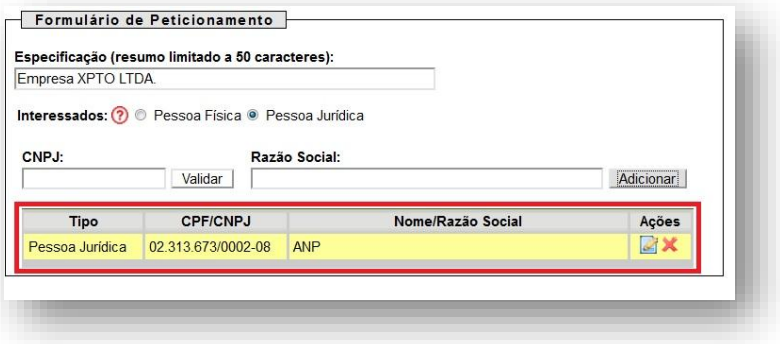
7.1.4. Fill in the **Specification field** with the corporate name of the legal entity:



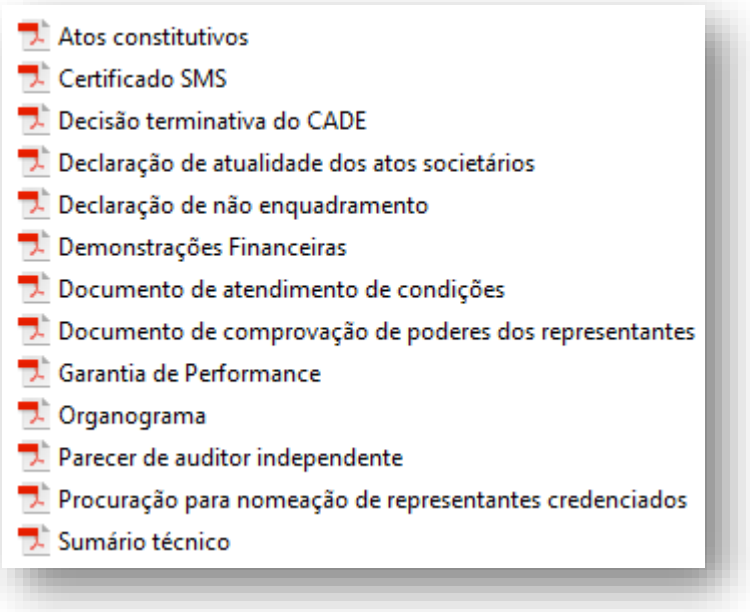
7.1.5. Select the "**Legal Entity" field**. Enter the CNPJ 02.313.673/0002-08 and click on **"Validate"** so that the name **"ANP"** appears:



7.1.6. Click on **"Add"** to include the interested party in the process, which will appear in the following table:



7.1.7. In order to standardize, name the files of the documents to be petitioned with the following nomenclature:



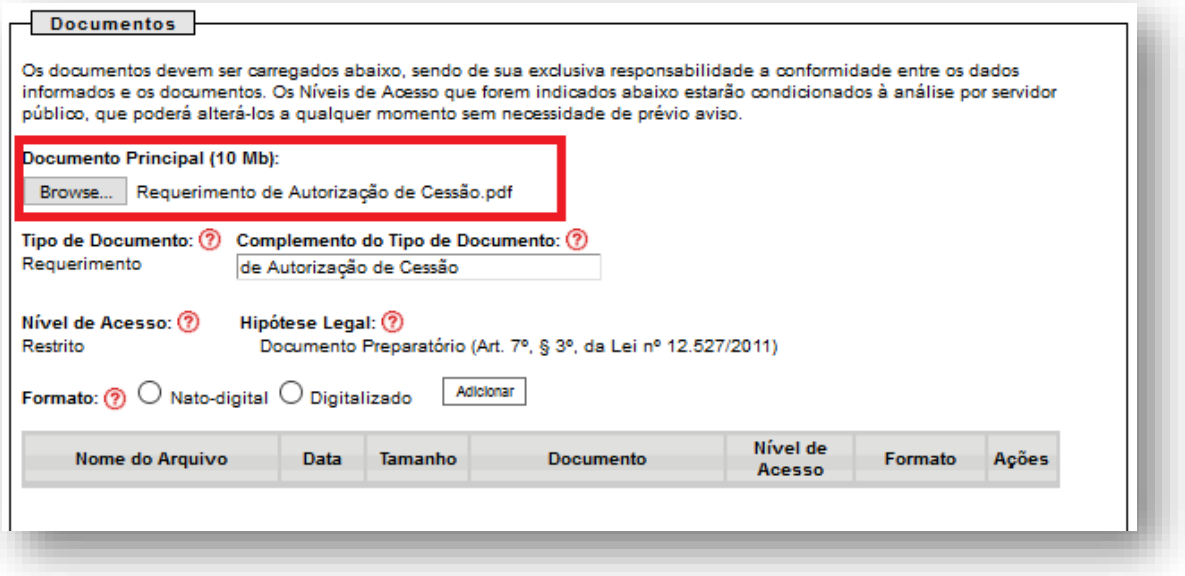
7.1.8. In SEI, the documents must be uploaded according to the specifications in the table below:

Required documents	Electronic Information System - SEI		
	Document Type	Document Type Add-on	Format
Requirement	Requirement	of Authorization of Assignment	Digitized*
Corporate documents / Articles of incorporation	Constitutive act	Bylaws or Articles of Association	Digitized
Corporate documents / Proof of the powers and names of legal representatives	Document	proof of credentials of representatives	Digitized
Corporate documents / Documents proving the fulfillment of any conditions for the exercise of the powers of the representatives	Document	of condition fulfillment	Digitized
Statement of timeliness of corporate acts	Statement	current status of corporate acts	Digitized
Power of Attorney for Appointment of Accredited Representatives	Power of attorney	appointment of accredited representatives	Digitized*

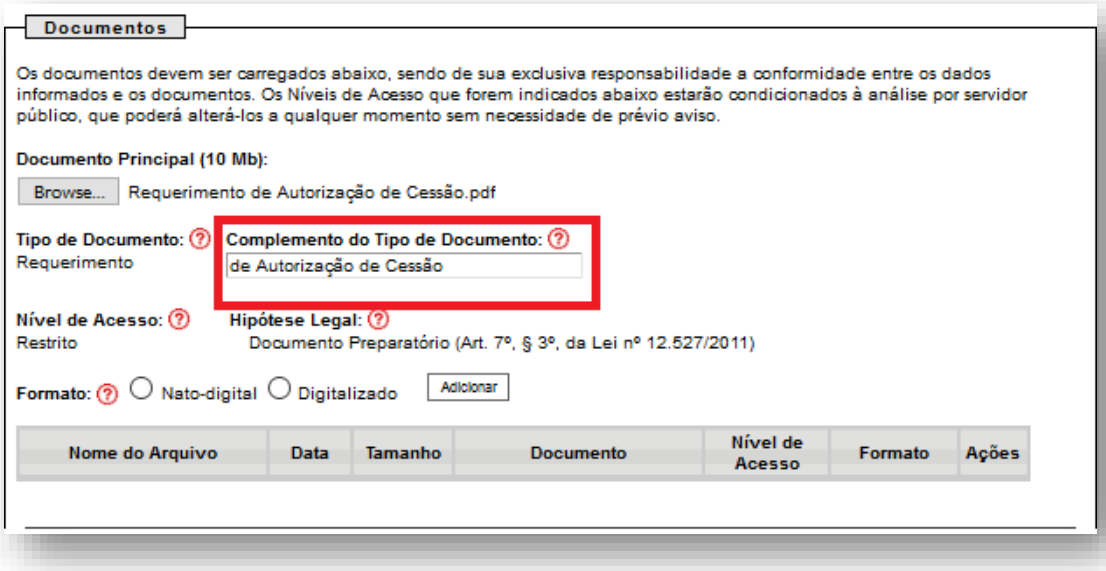
***** The required documents must be **printed, dated, signed** by the accredited or legal representative, as the case may be, and **scanned** for forwarding through SEI.

7.1.9. Filling in the **"Main Document" field**:

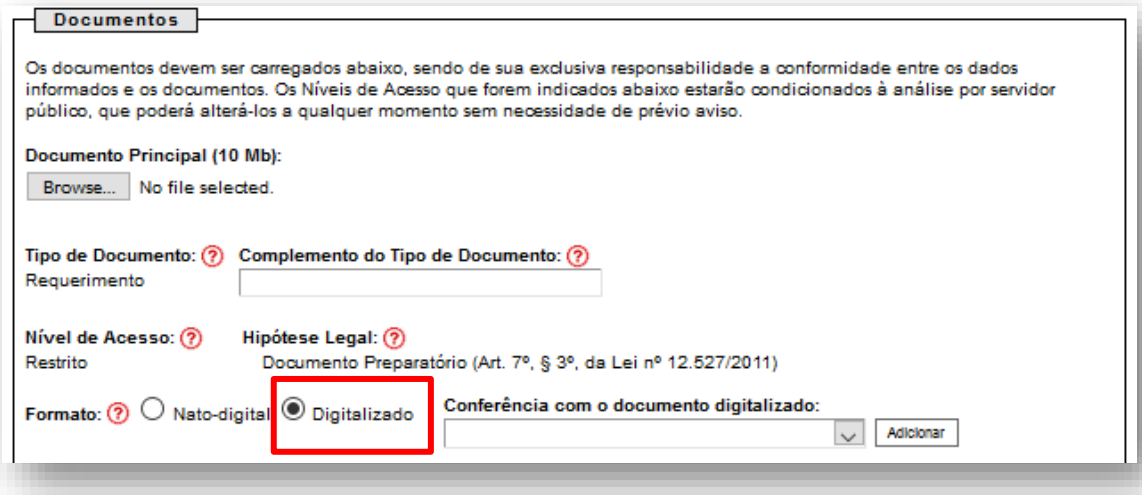
a) Click on "**Choose file**" and search for **Assignment Authorization Application** in the local directory (the main document must always be the **Application**):



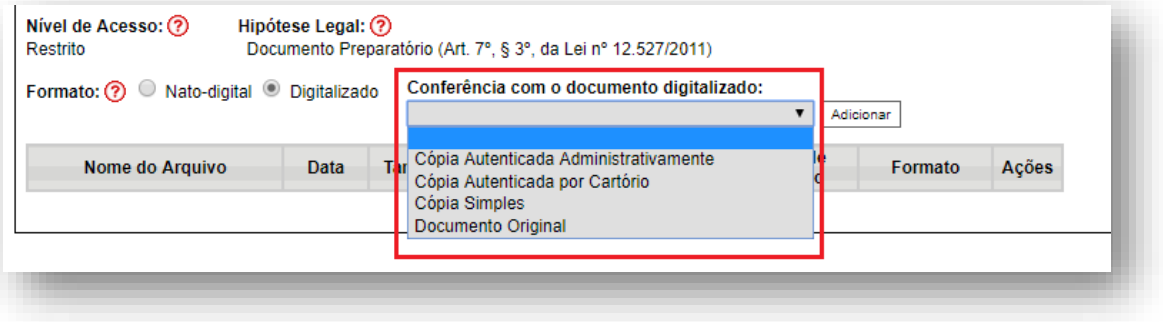
b) Fill in the "Complement of the document type" field, with the text "of assignment authorization":



c) Check the **"Scanned" checkbox**:



d) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:



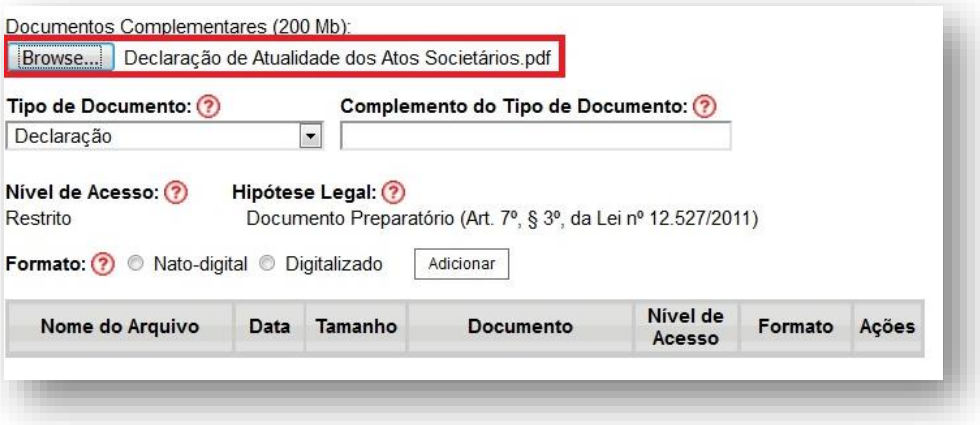
e) Click on "**Add**":



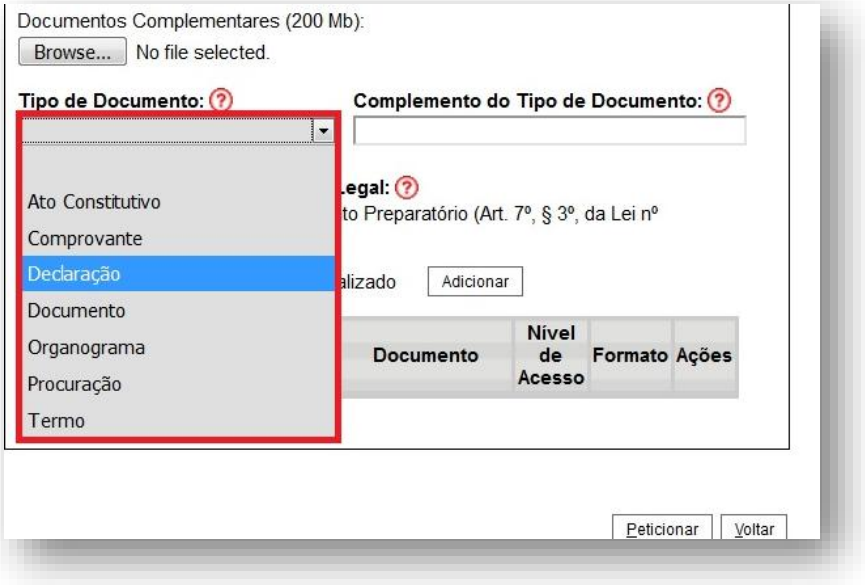
7.1.10. Submission of the **"Complementary Documents",** which are the other documents necessary for the procedural instruction specified in this manual. Example: Requesting a **"Declaration of Timeliness of Corporate Acts"**:

a) Fill in the document according to the template available in https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/gestao-de-contratos-de-e-p/cessao-de-contratos/procedimento, print it, sign it and scan it.

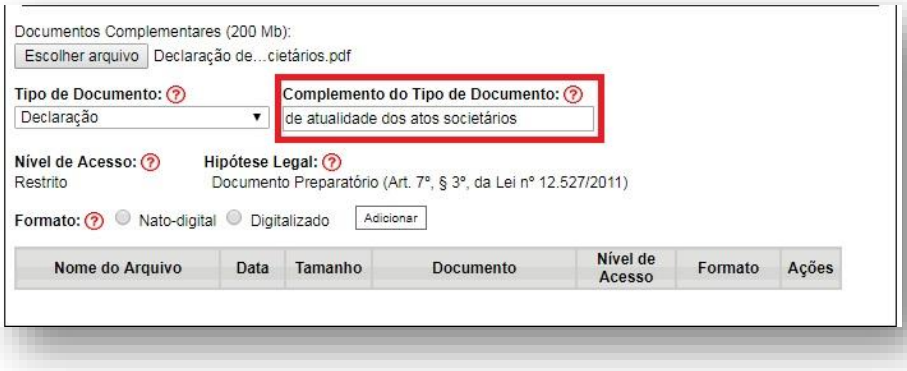
b) Click on "Choose file" and search for the 'Statement of actuality of corporate acts' in the local directory:



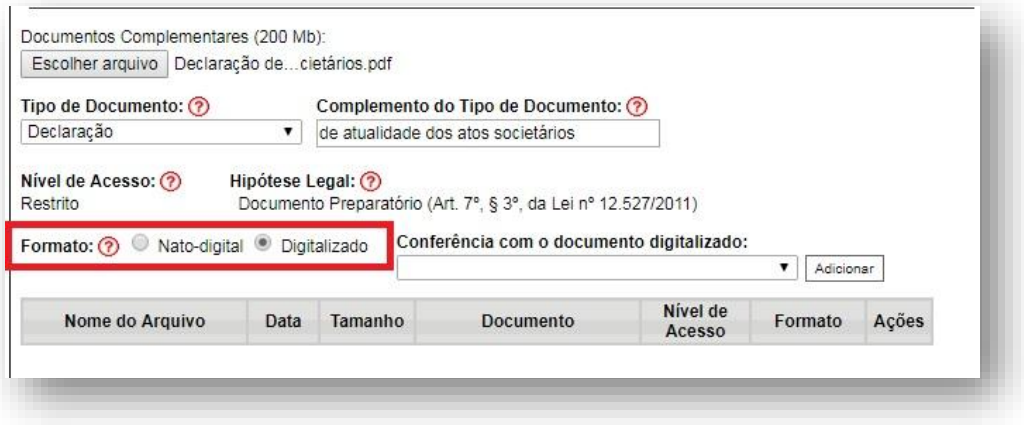
c) Select the "**Declaration**" document type:



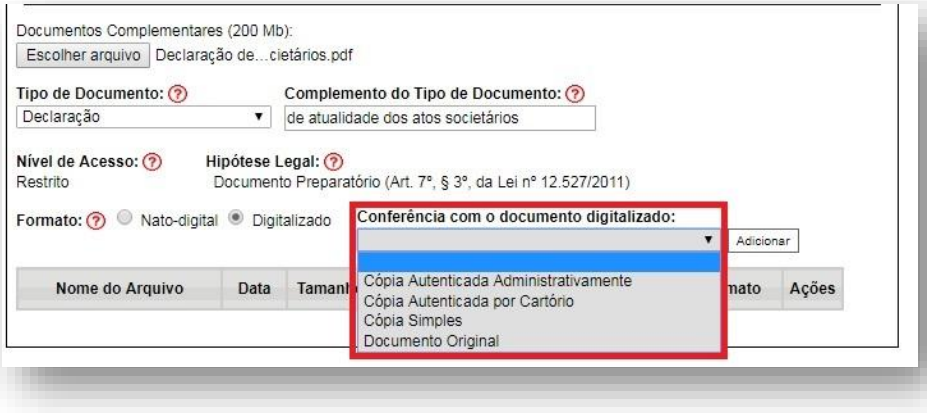
d) Insert "current of corporate acts" in the "Complement of the document type" field:



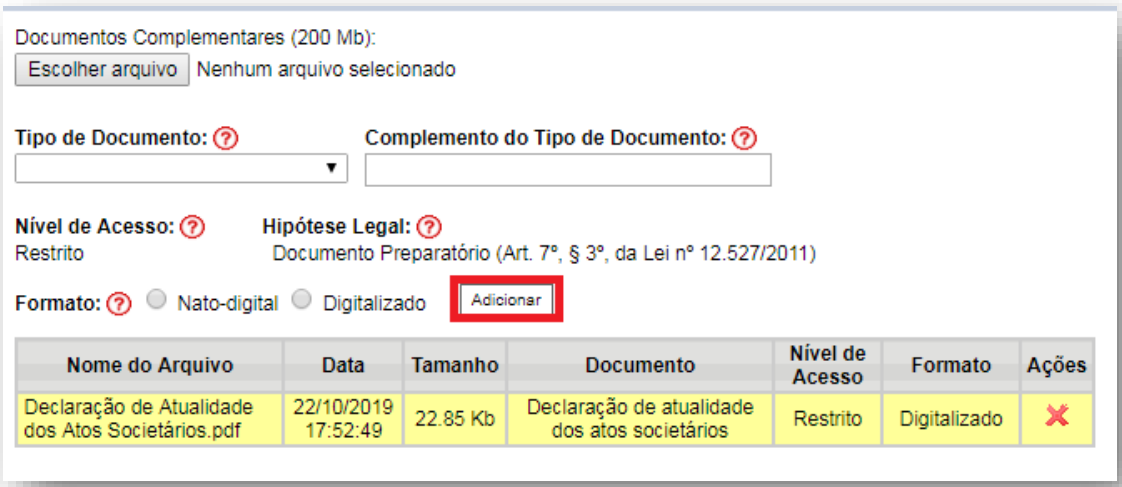
e) Select the **"Scanned"** format, as instructed in step 7.1.9, "c" of this chapter:



f) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:

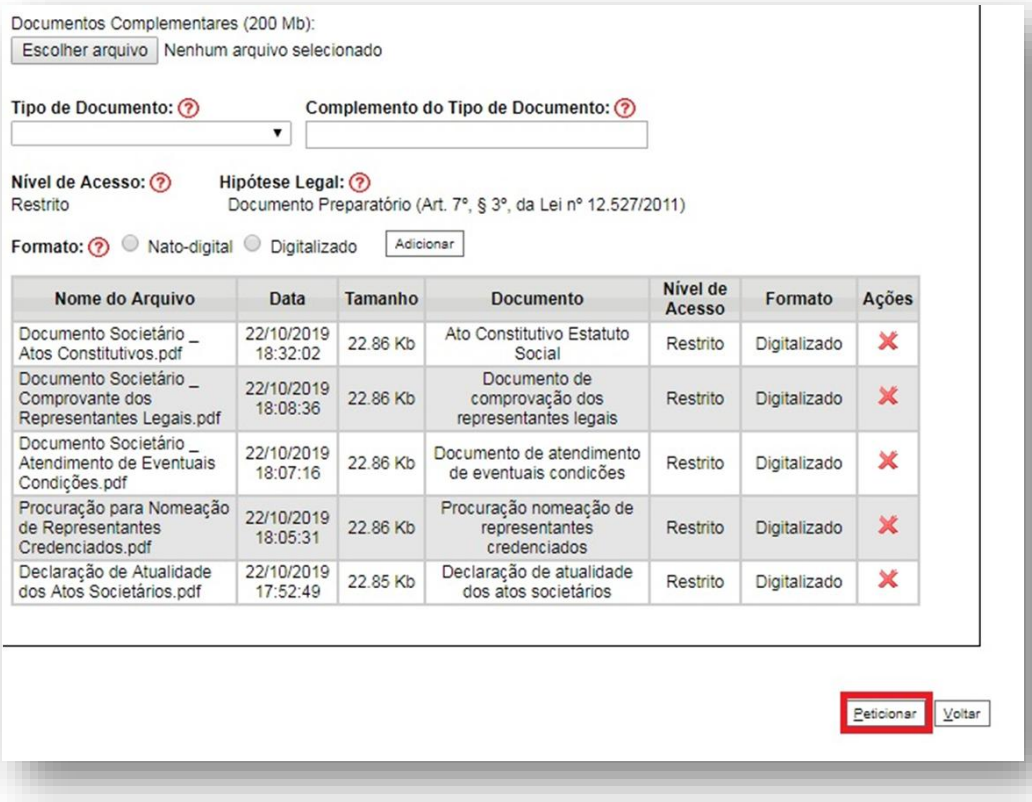


g) Click on **"Add"**:

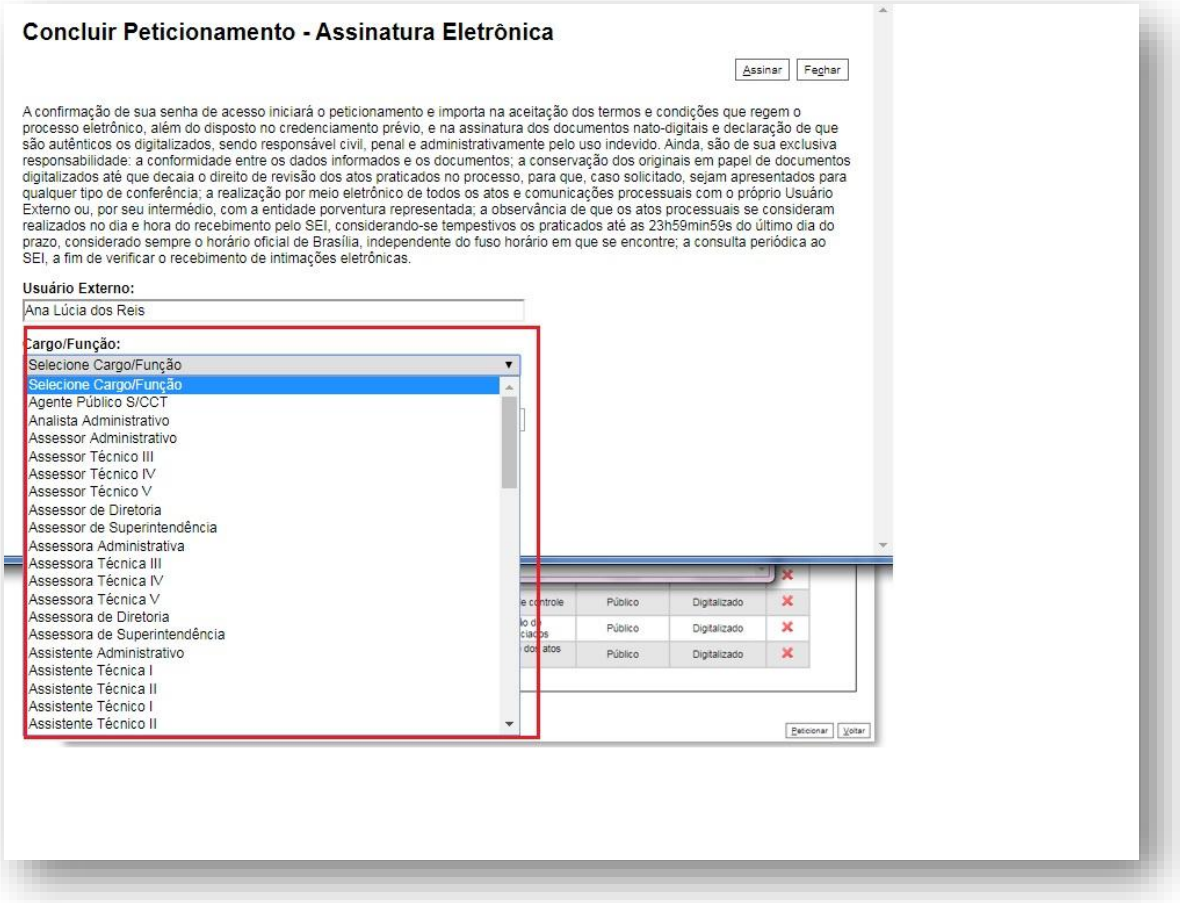


7.1.11. Request:

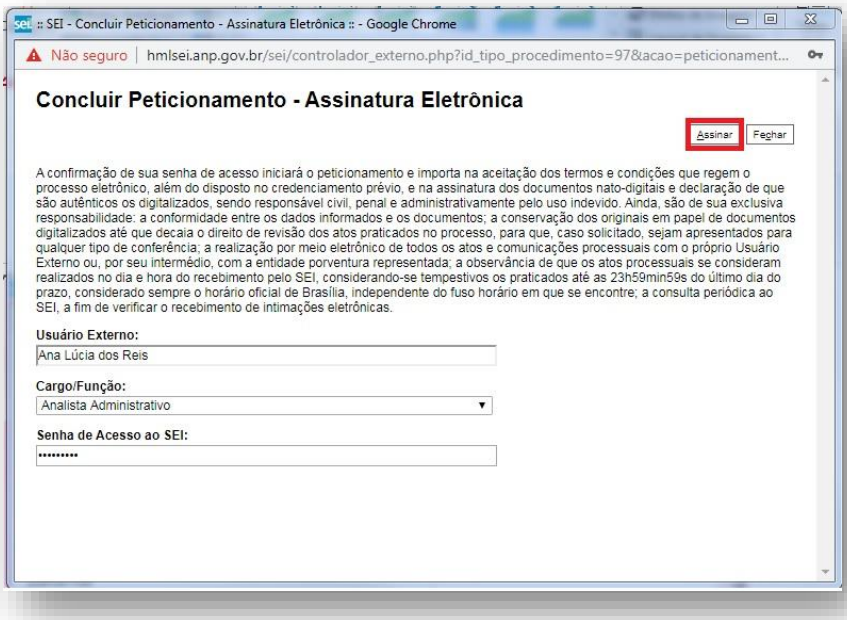
a) After uploading all the documents necessary for the instruction of the process, click on the **"Petition" button**:



b) By clicking on **"Petition",** the "Complete Petition – Electronic Signature**" screen will appear.** Select **"Position/Function"** closest to the function performed by the accredited representative and enter the password to access SEI:



c) After entering the password to access SEI, click on **"Sign"**:



d) After validating the signature, the Electronic Protocol Receipt will appear, which must be printed/saved by clicking on the icon in **"Actions"**:

Note: This electronic receipt has legal validity as proof of sending documents, not requiring additional validation.

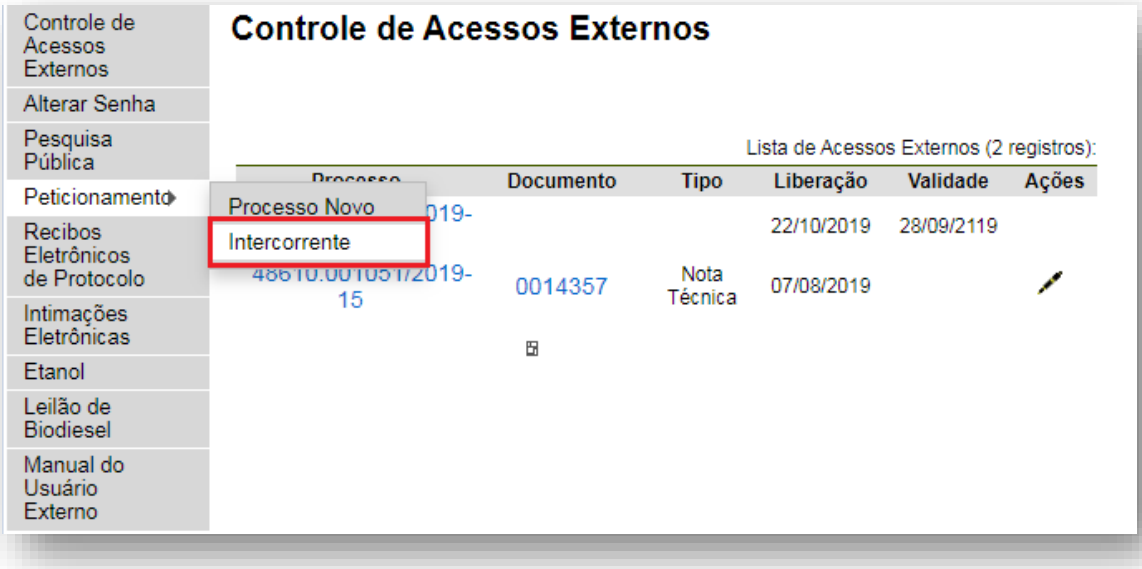


7.1.12. Process Monitoring: when clicking on the **"Close"** button or accessing SEI again, the screen below will appear to the user, where the process can be followed:

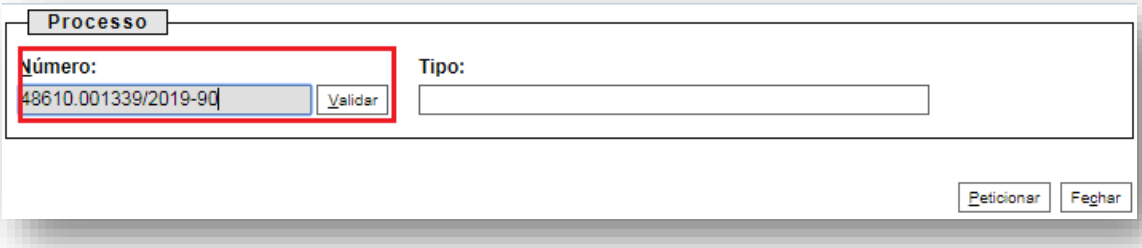


7.2. Intercurrent Petition

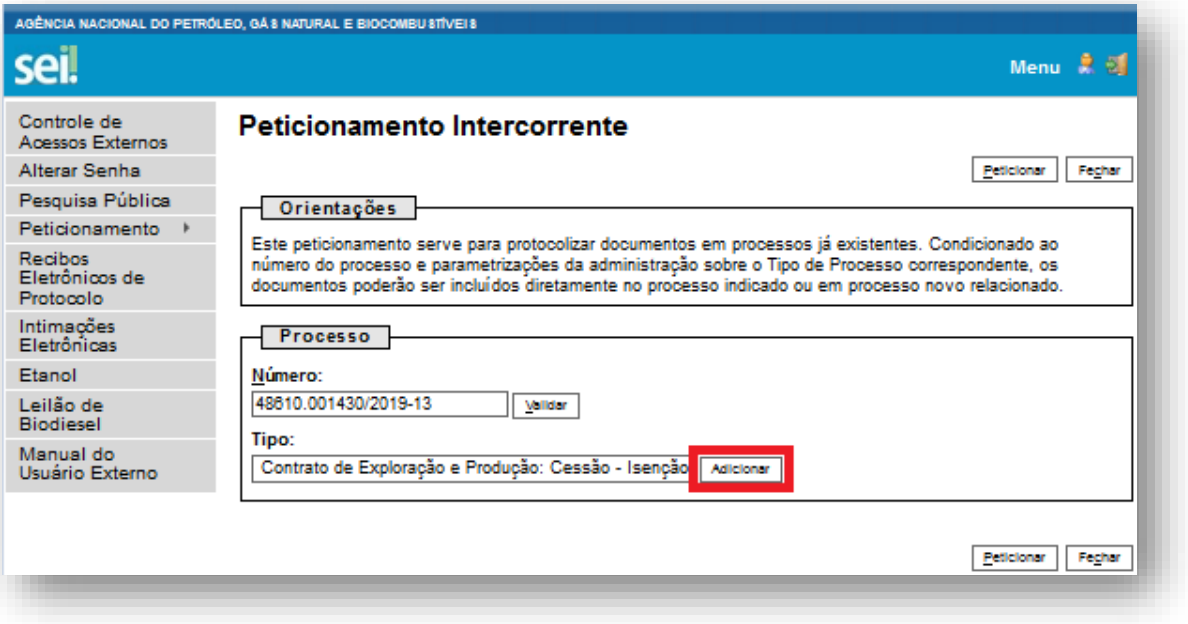
7.2.1. Click on "Petition> Intercurrent":



7.2.2. Enter the process number that is on the initial protocol receipt – the same procedure as in the **Authorization Application step –** and click on **Validate**:



7.2.3. The type of Process will appear: PRODUCTION EXPLORATION CONTRACT: **ASSIGNMENT – EXEMPTION OR REPLACEMENT OF PERFORMANCE GUARANTEE:**

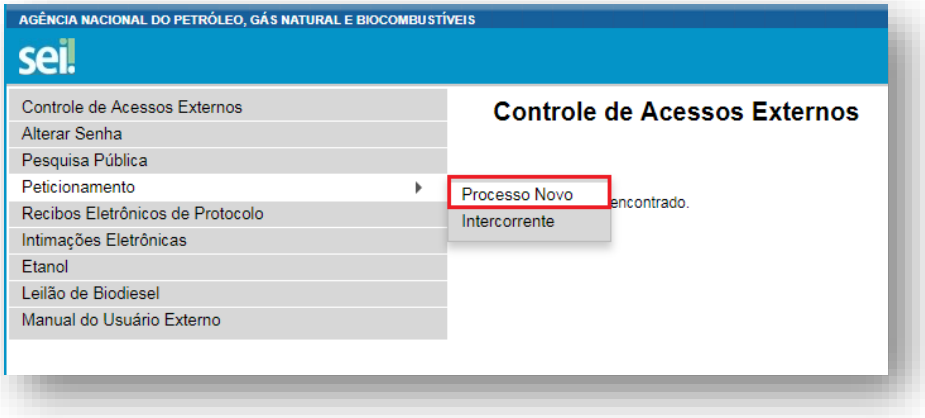


7.2.4. To petition the non-compliant documents listed by means of an official letter, follow the steps in item "**7.2. Intercurrent Petition**".

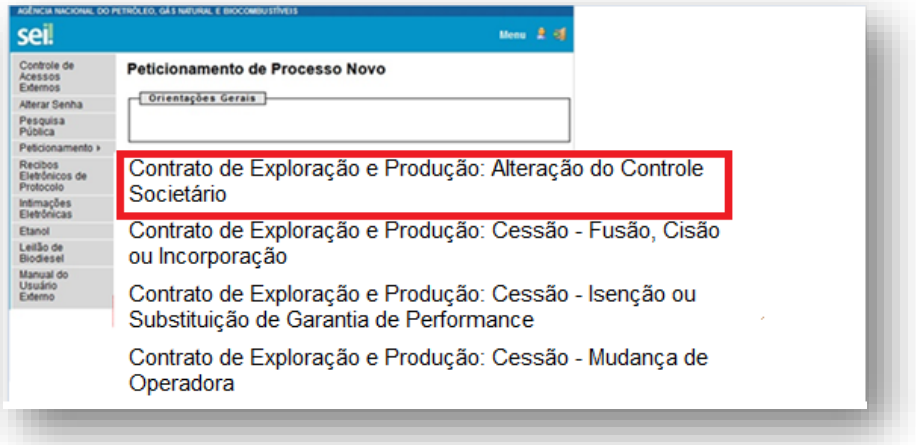
8. EXPLORATION AND PRODUCTION CONTRACT: CHANGE OF CORPORATE CONTROL

8.1. New request

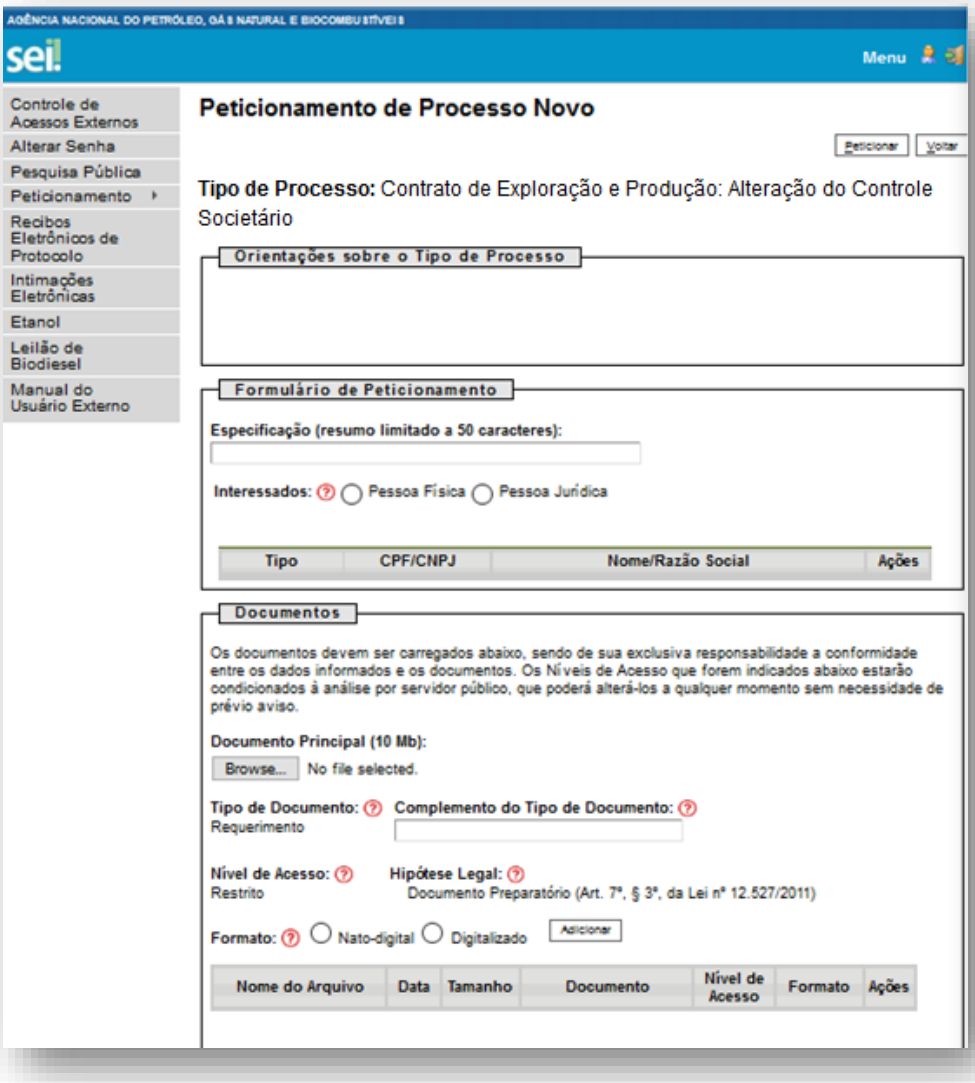
8.1.1. Click on "Petition" > "**New Process**":



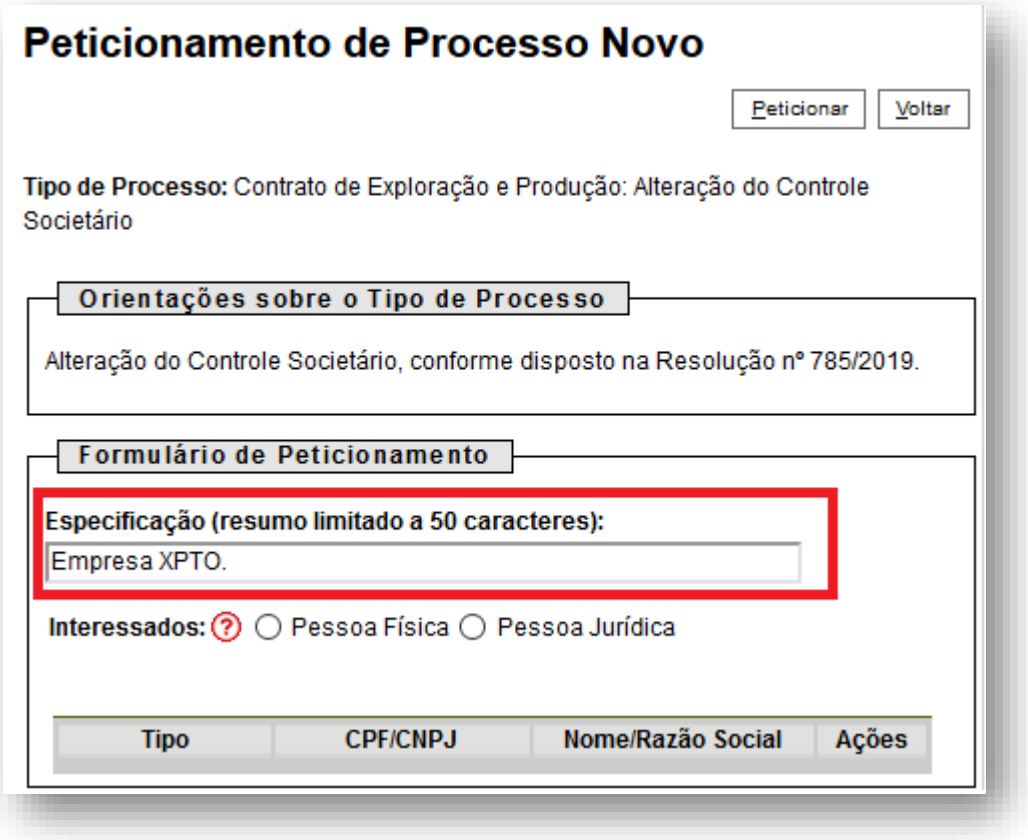
8.1.2. Choose the type of process you want to initiate: Exploration and Production Agreement: **Change of Corporate Control**:



8.1.3. The page below will open:



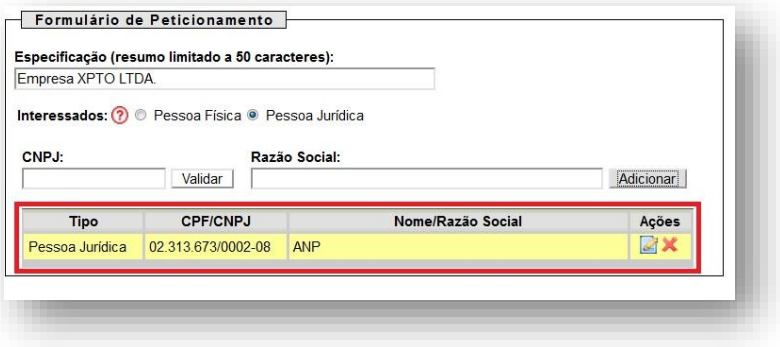
8.1.4. Fill in the **Specification field** with the corporate name of the legal entity:



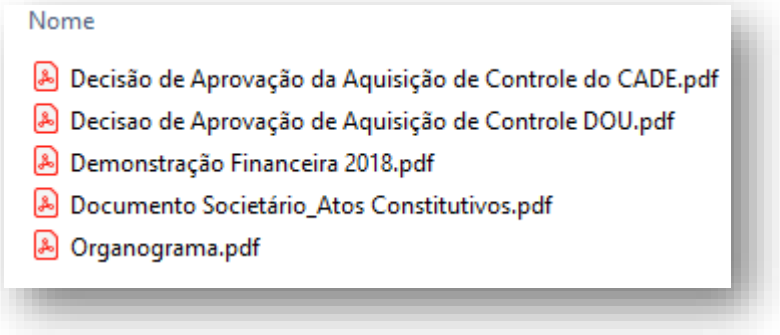
8.1.5. Select the "**Legal Entity" field**. Enter the CNPJ 02.313.673/0002-08 and click on **"Validate"** so that the name **"ANP"** appears:



8.1.6. Click on **"Add"** to include the interested party in the process, which will appear in the following table:



8.1.7. In order to standardize, name the files of the documents to be petitioned with the following nomenclature:



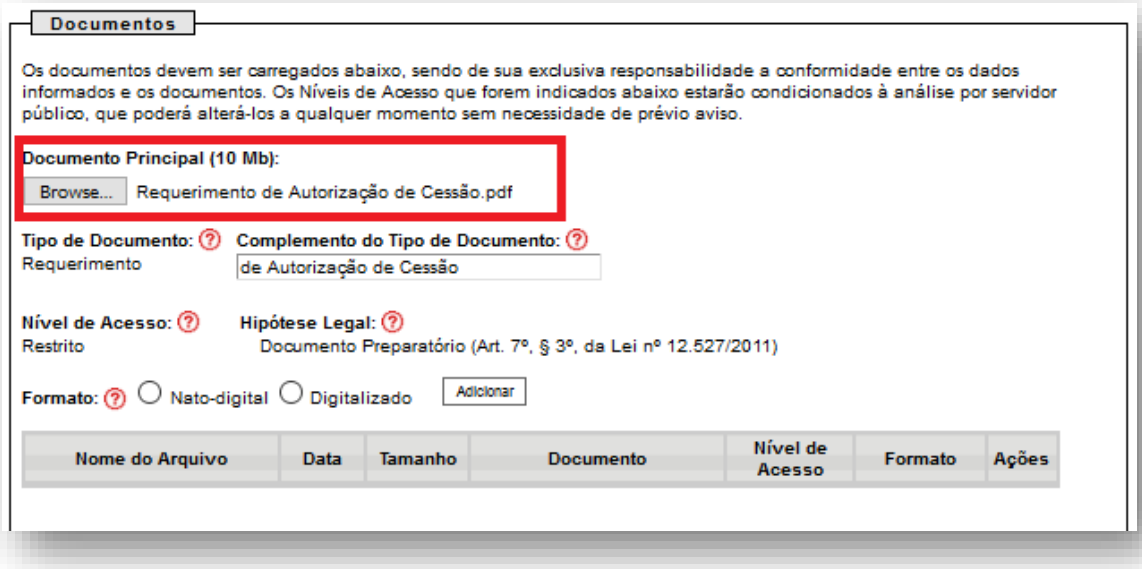
8.1.8. In SEI, the documents must be uploaded according to the specifications in the table below:

Required documents	Electronic Information System - SEI		
	Document Type	Document Type Add-on	Format
Requirement	Requirement	of Authorization of Assignment	Digitized*
Decision	Decision	of Approval Acquisition of Control of CADE.	Digitized
Decision	Decision	Approval of CADE's Acquisition of Control (DOU)	Digitized
Demo	Demo	Financial (Most year referring)	Digitized
Organization Chart	Organization Chart	_ (most current)	Digitized
Summary	Summary	Technical	Digitized*

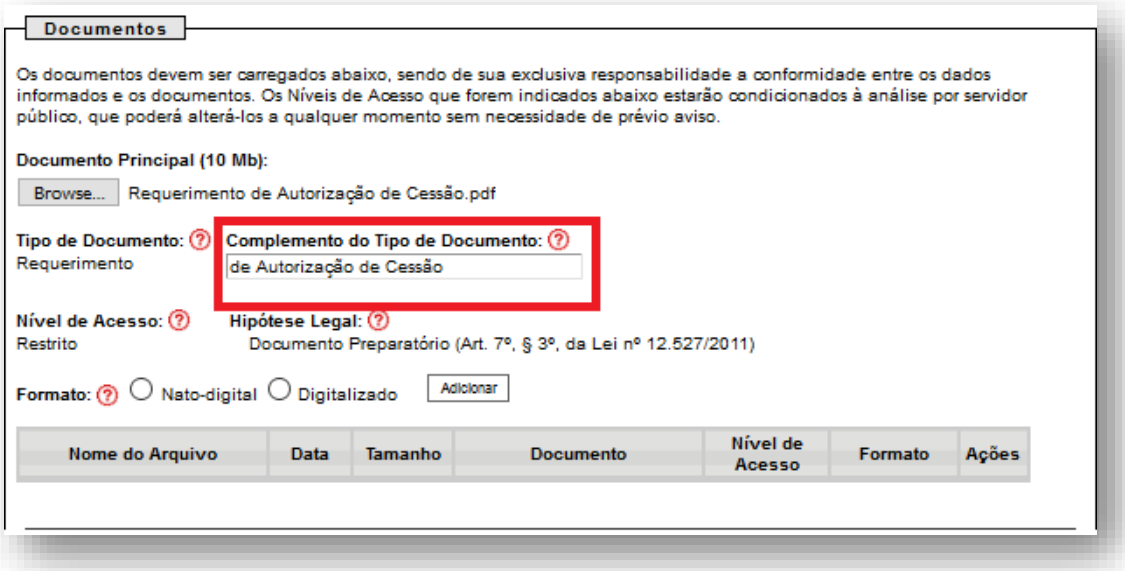
***** The required documents must be **printed, dated, signed** by the accredited or legal representative, as the case may be, and **scanned** for forwarding through SEI.

8.1.9. Filling in the **"Main Document" field**:

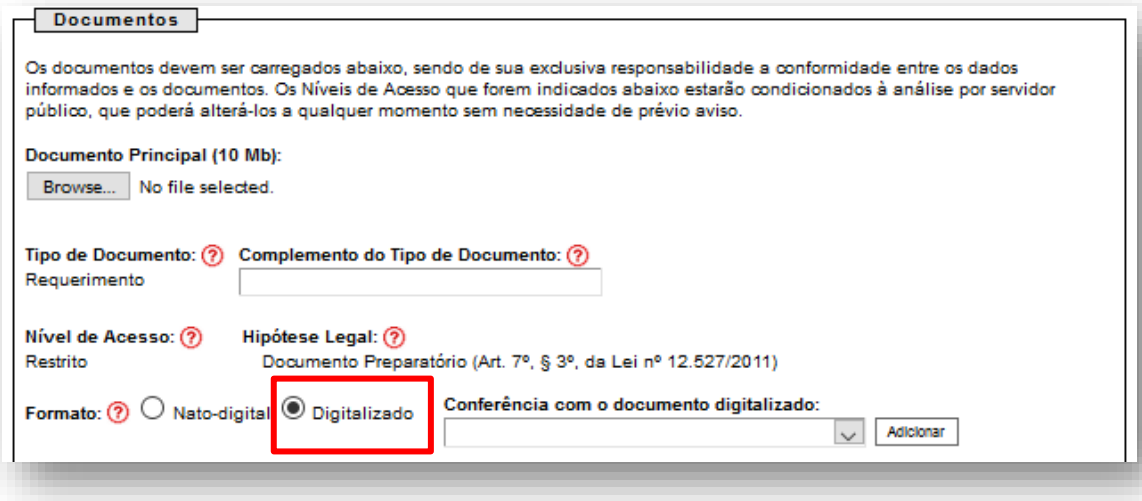
a) Click on "**Choose file**" and search for **Assignment Authorization Application** in the local directory (the main document must always be the **Application**):



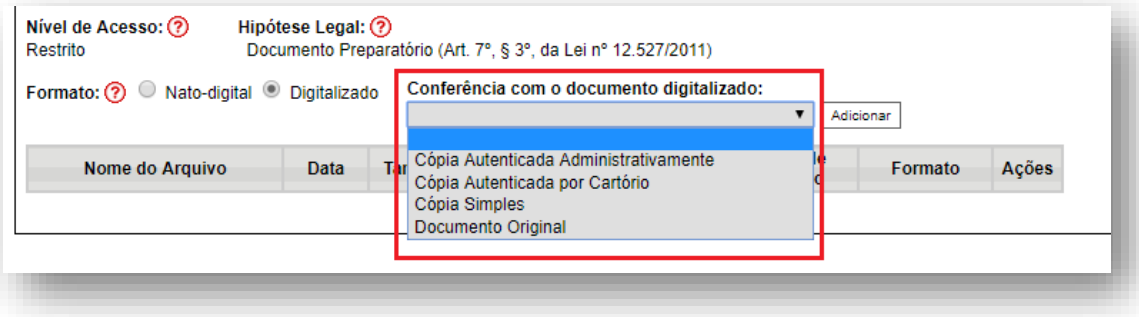
b) Fill in the "Complement of the document type" field, with the text "of assignment authorization":



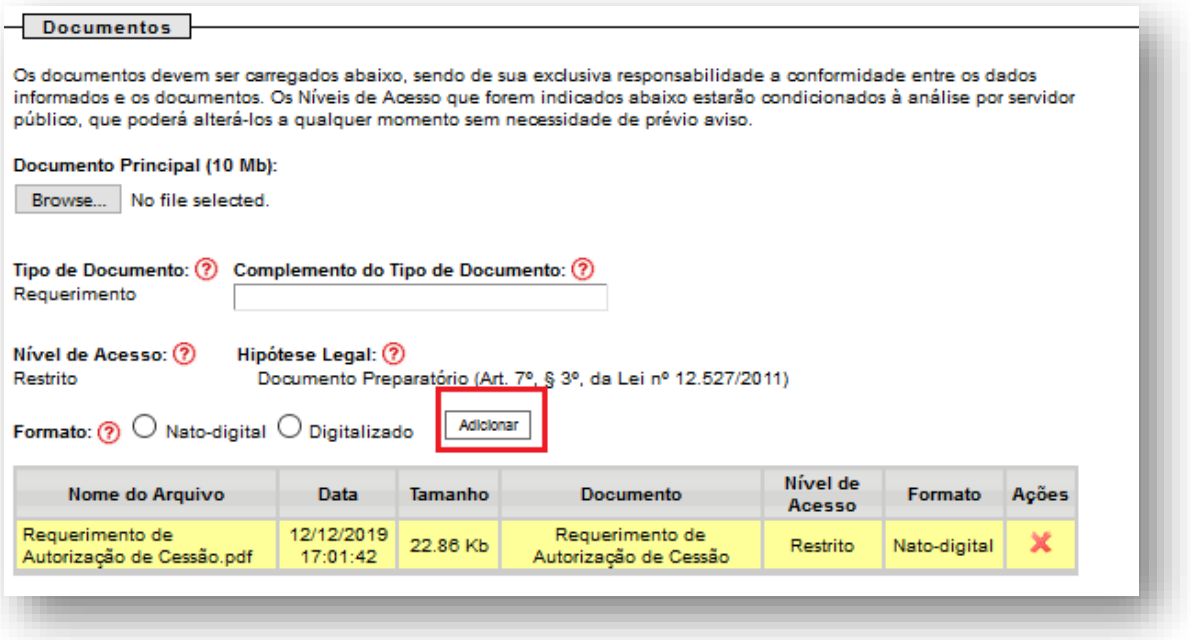
c) Check the **"Scanned" checkbox**:



d) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:



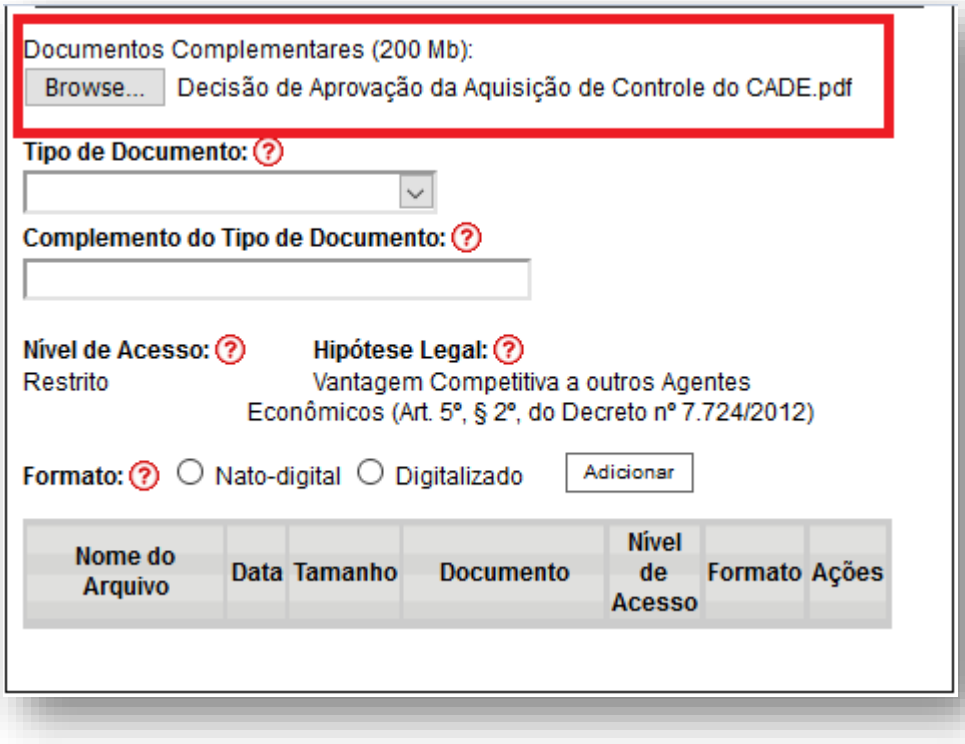
e) Click on "**Add**":



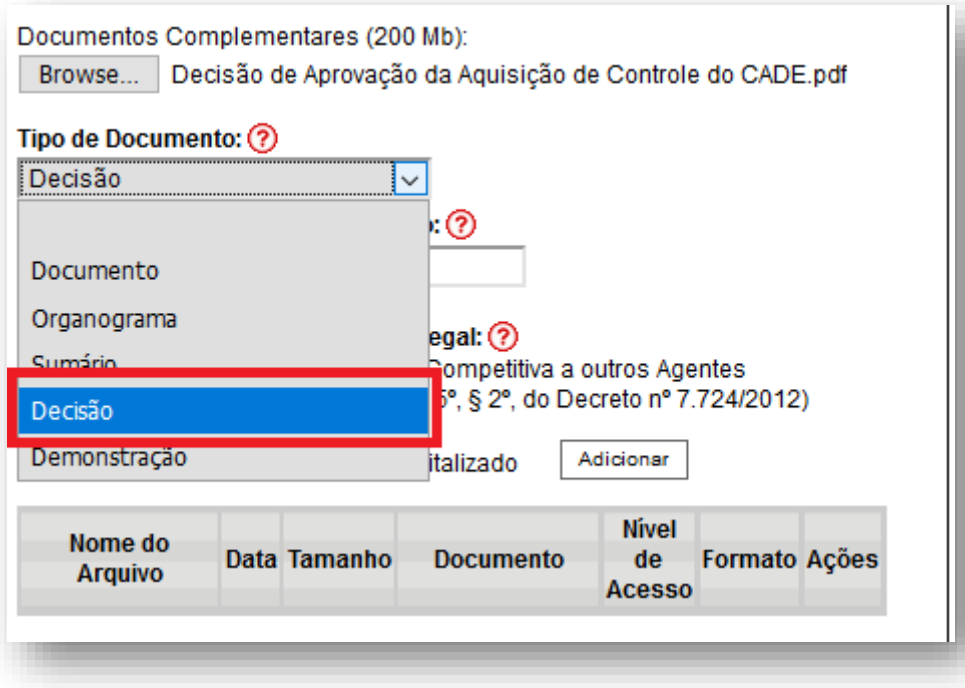
8.1.10. Submission of the **"Complementary Documents",** which are the other documents necessary for the procedural instruction specified in this manual. Example: Requesting a **"Declaration of Actuality of Corporate Acts".**

a) Fill in the document according to the template available in https://www.gov.br/anp/pt-br/assuntos/exploracao-e-producao-de-oleo-e-gas/gestao-de-contratos-de-e-p/cessao-de-contratos/procedimento, print it, sign it and scan it.

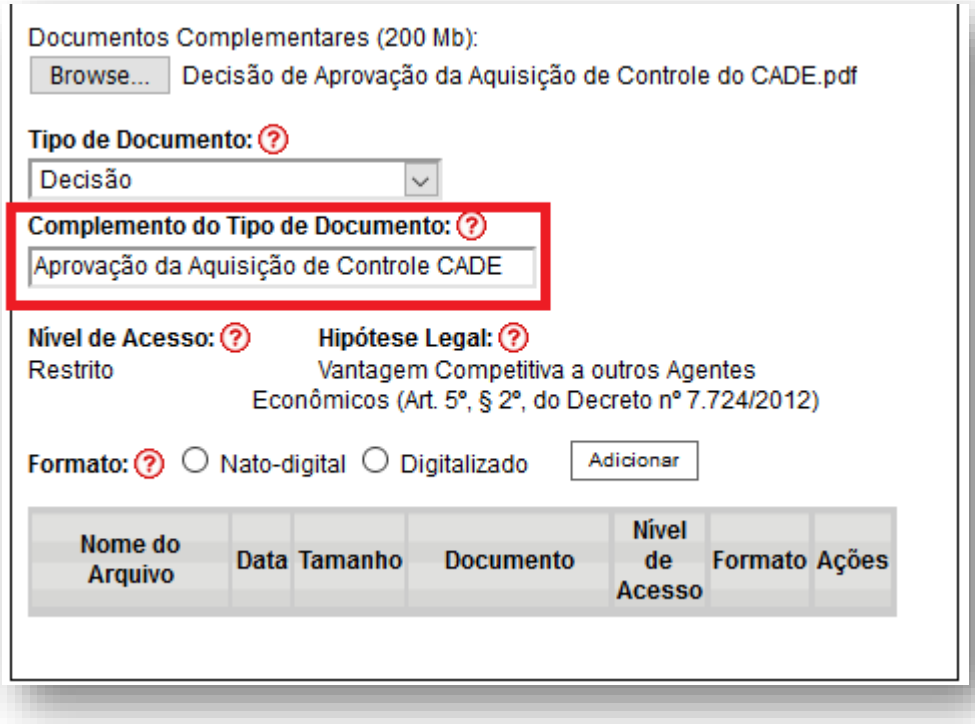
b) Click on "Choose file" and search for the 'Statement of actuality of corporate acts' in the local directory:



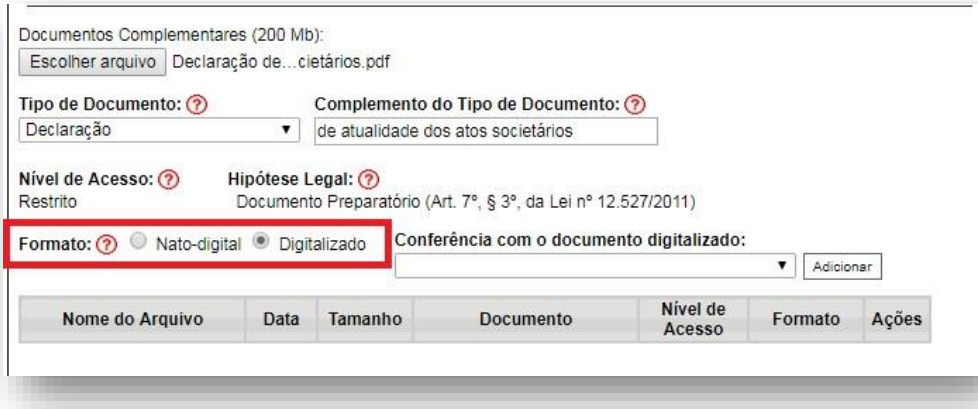
c) Select the "**Decision**" document type:



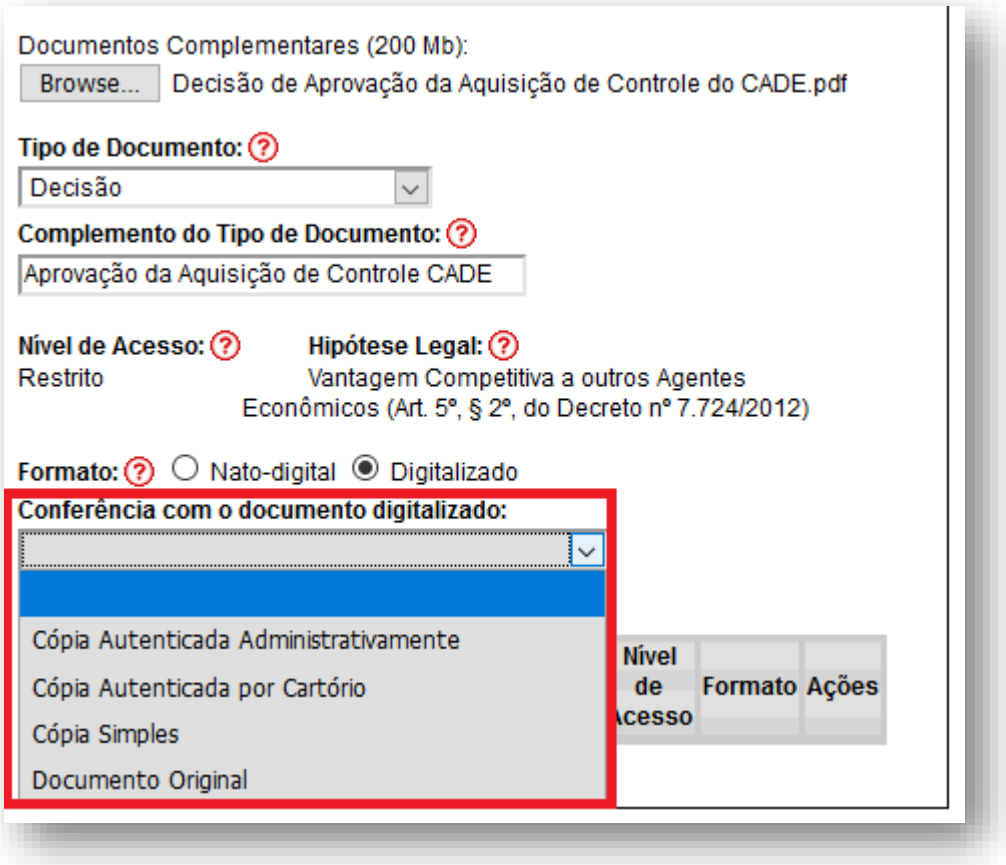
d) Insert "Approval of the Acquisition of Control CADE" in the "Document Type Complement" field:



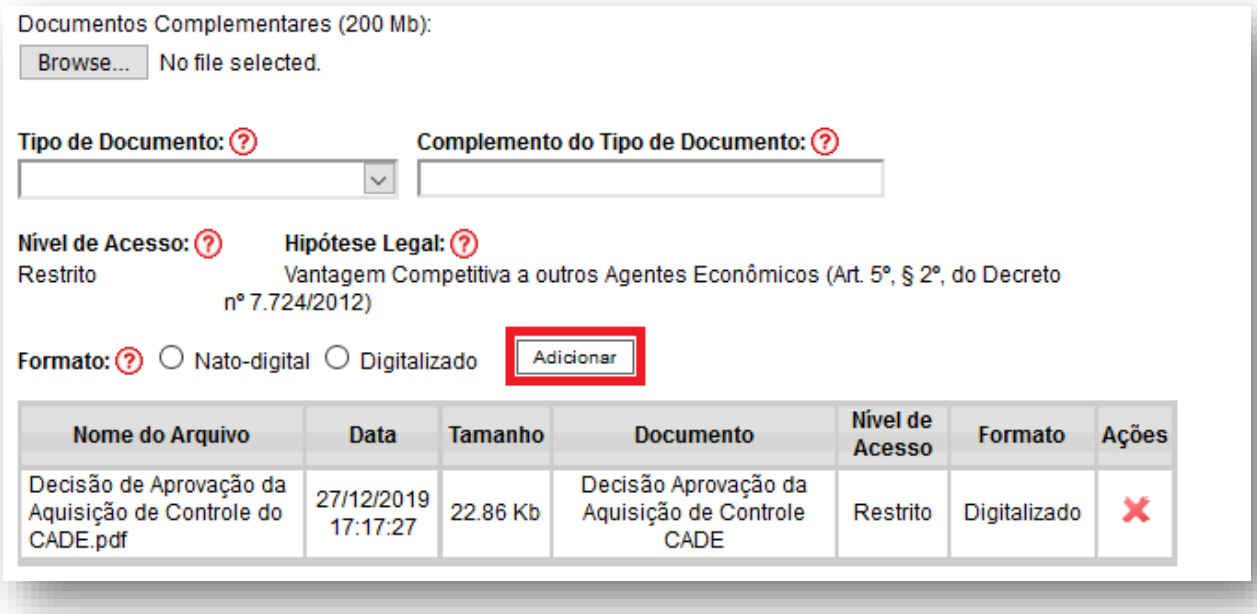
e) Select the **"Scanned"** format, as instructed in step 8.1.9,"c" of this chapter:



f) Select the appropriate option in **"Conference with the scanned document",** as provided in **ANP External User Manual** available at https://www.gov.br/anp/pt-br/servicos/processo-eletronico-sei/processo-eletronico-sei:

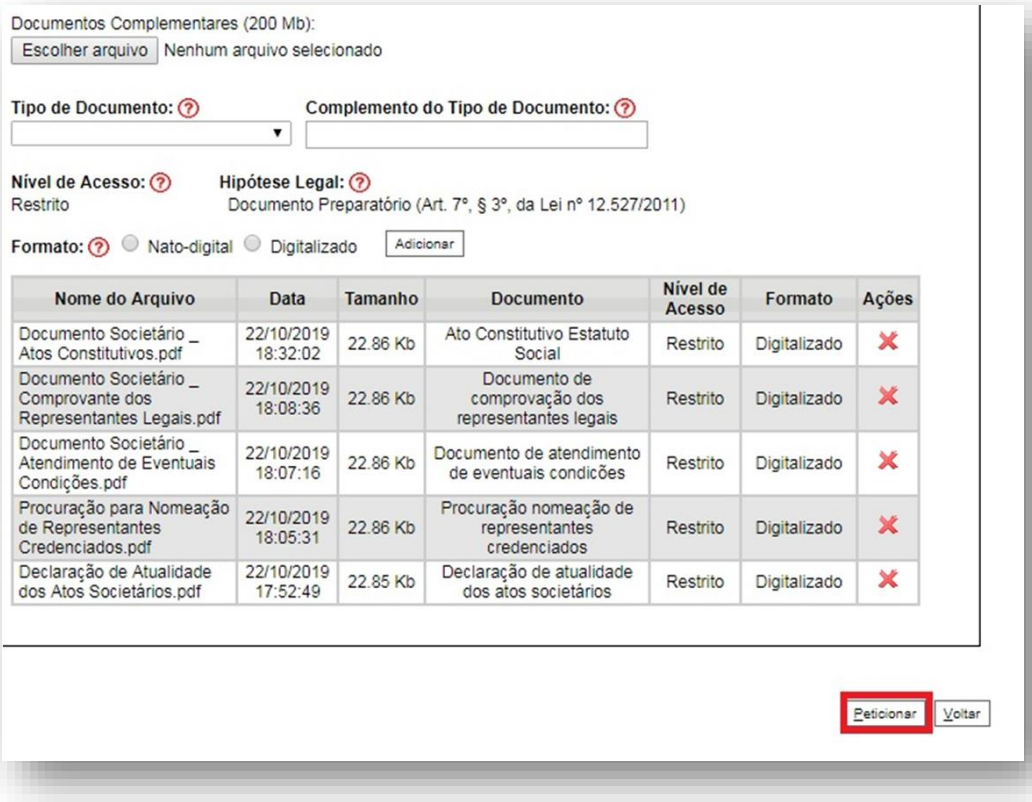


g) Click on **"Add"**:

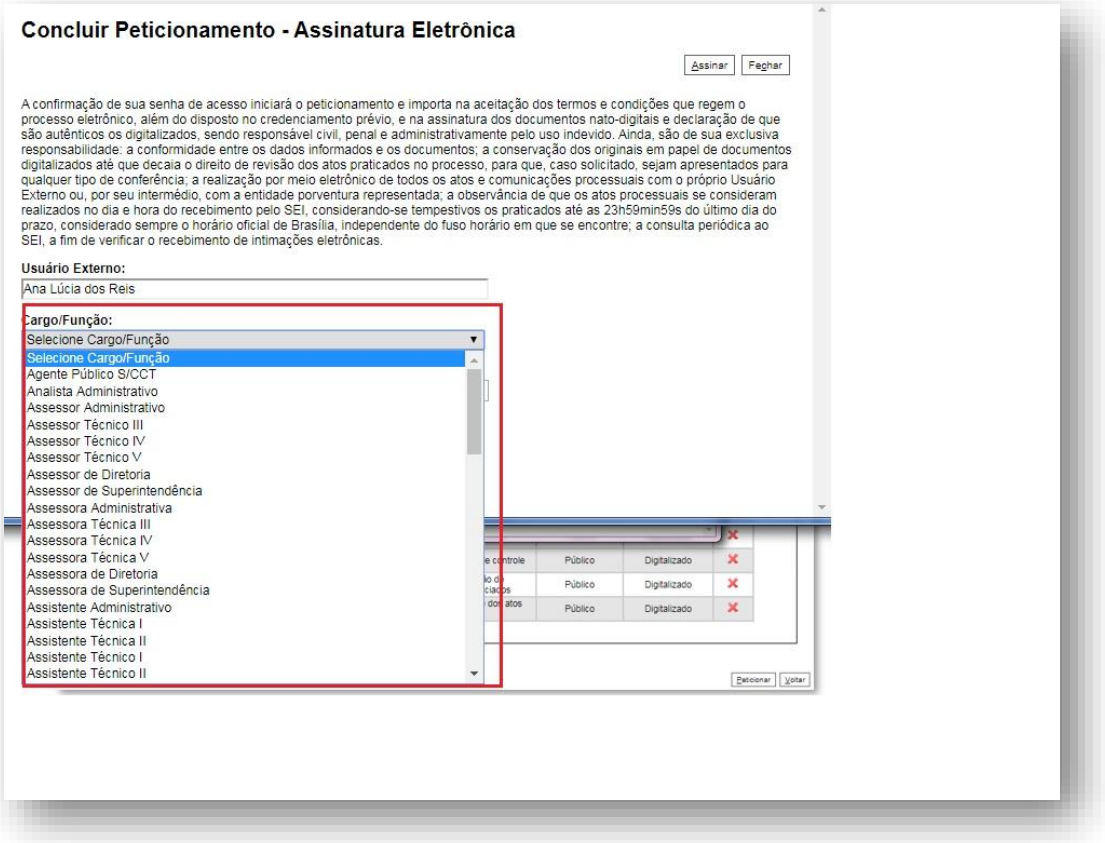


8.1.11. Request:

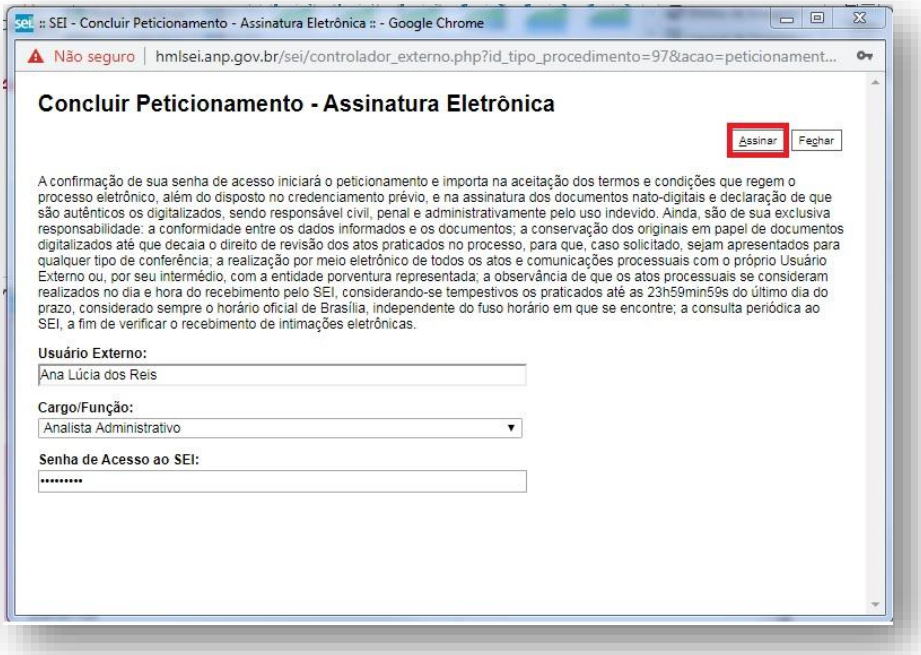
a) After uploading all the documents necessary for the instruction of the process, click on the **"Petition" button**:



b) By clicking on **"Petition",** the "Complete Petition – Electronic Signature**" screen will appear.** Select **"Position/Function"** closest to the function performed by the accredited representative and enter the password to access SEI:



c) After entering the password to access SEI, click on **"Sign"**:

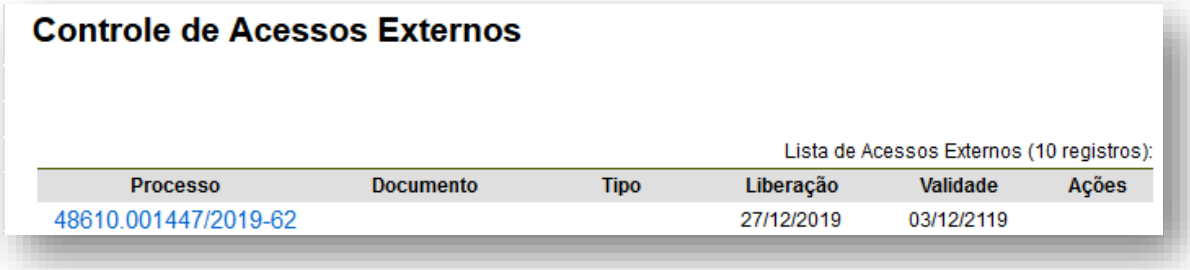


d) After validating the signature, the Electronic Protocol Receipt will appear, which must be printed/saved by clicking on the icon in **"Actions"**:

Note: This electronic receipt has legal validity as proof of sending documents, not requiring additional validation.

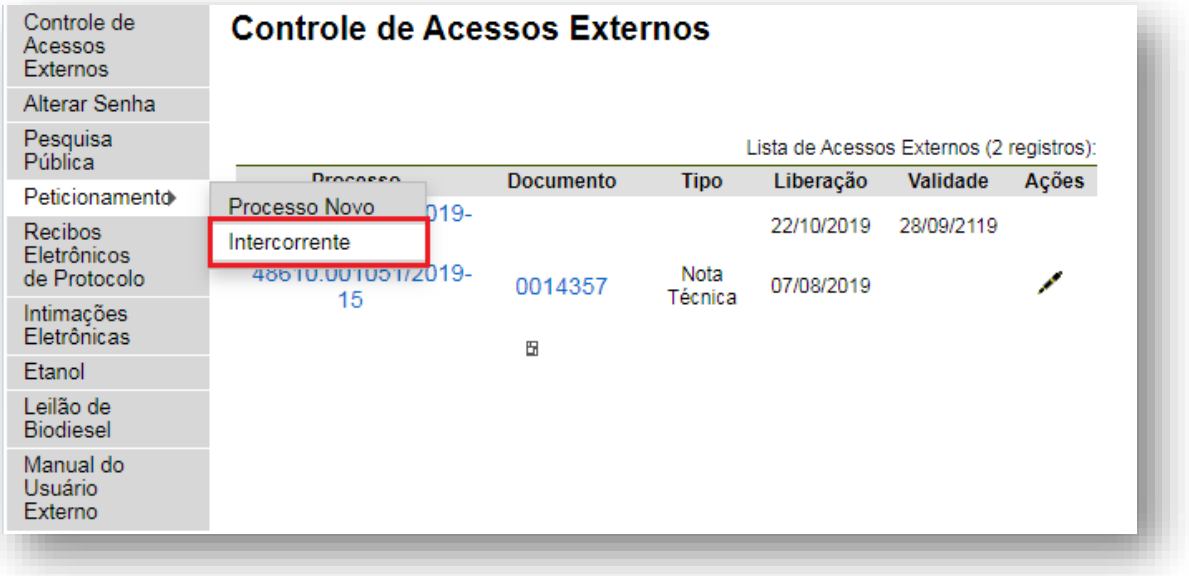


8.1.12. Process Monitoring: when clicking on the **"Close"** button or accessing SEI again, the screen below will appear to the user, where the process can be followed:

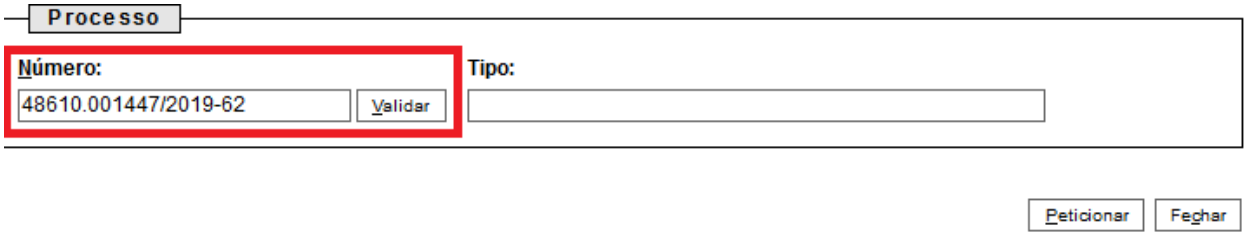


8.2. Intercurrent Petition

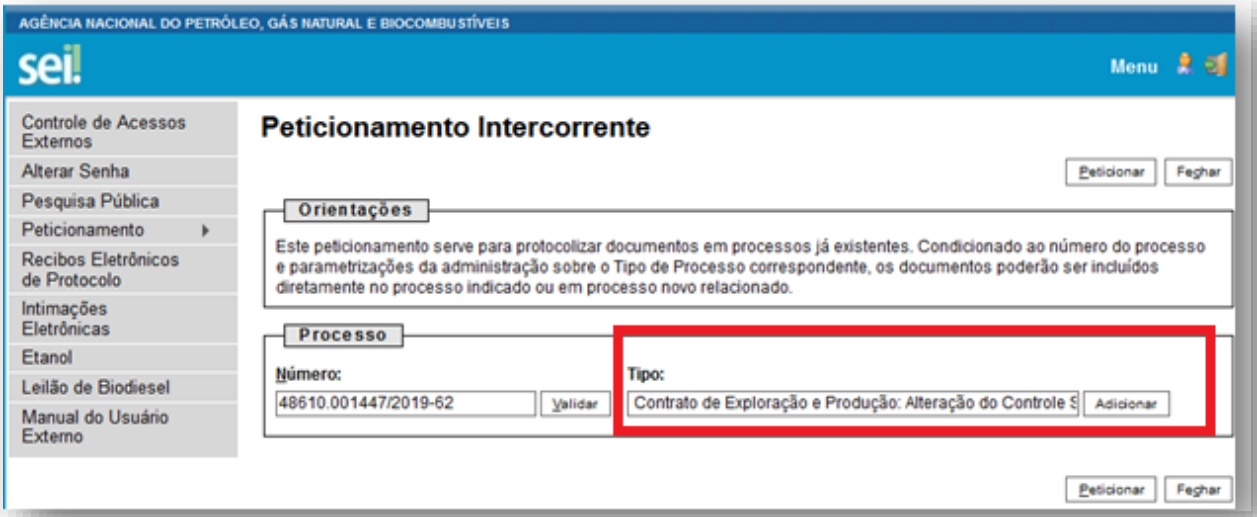
8.2.1. Click on "Petition> Intercurrent":



8.2.2. Enter the process number that is on the initial protocol receipt – the same procedure as in the **Authorization Application step –** and click on **Validate:**



8.2.3. The type of Process will appear: PRODUCTION EXPLORATION CONTRACT: **Change of Corporate Control:**



8.2.4. To petition the non-compliant documents listed by letter, follow the steps in item "**8.2. Intercurrent Petition**".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