

ANNEX 6 – VOLUME 1 (PRE-IDENTIFICATION AND BID GUARANTEE)

1. VOLUME 1 will consist of the PRE-IDENTIFICATION documents and the PROPOSAL GUARANTEE, under the terms of the NOTICE and this ANNEX.

Pre-identification

2. For PRE-IDENTIFICATION, the following documents will be required:

**Table I – Documents for the Pre-identification of the Proponents
Legal Standing**

All Proposers	A	Articles of incorporation or bylaws of the BIDDER legal entity, as last amended filed in the competent business registry or notary's office. • If the last amendment to the bylaws or articles of association does not consolidate the provisions of the bylaws or articles of association in force, the previous amendments containing such provisions must also be presented.
All Proposers	B	Proof of election of the acting managers of the BIDDER legal entity, duly filed with the competent business registry or notary.
All Proposers	C	Updated certificate of good standing of the Legal Entity BIDDER issued by the competent commercial registry or notary's office.
All Proposers	D	Organizational chart of the economic group of which the BIDDER is a part, containing the identification of the economic groups to which they belong, including a list of all natural or legal persons holding a stake equal to or greater than 5% (five percent) belonging to the economic groups, with activities in the national territory, informing: • the complete organizational chart, up to the level of natural person, with the corporate structure of the parties directly involved in the transaction; and • the organizational chart with the corporate structure of the economic group to which such parts belong. The organizational charts referred to in this item, in the event of the existence of data of natural persons, must be presented in two versions: (i) complete version, containing the entire corporate chain and personal data, to be made available exclusively to the GRANTING AUTHORITY on a confidential basis; and (ii) public version, intended for administrative proceedings, in which there are labels or deletions related to personal data, in accordance with the General Data Protection Law (LGPD).
All Proposers	E	Diagram of the economic group that simulates the post-operation situation.

		• The diagram must contain in its structure the alleged subsidiary, the indication of the percentages of the equity interests of the controlling shareholders, affiliates and simple shareholdings, accompanied by the full names of the people involved in the direct, intermediate and indirect control; • The opening of the chart should expose all direct, indirect and intermediate participations, equal to or greater than 20%; and • The controlling shareholders must be informed in the diagram, including by virtue of a shareholders' and/or partners' agreement. The diagram referred to in this item shall be presented in two versions: (i) complete version, containing the entire corporate chain and personal data, to be made available exclusively to the GRANTING AUTHORITY on a confidential basis; and (ii) public version, intended for administrative proceedings, in which there are labels or deletions related to personal data, in accordance with the General Data Protection Law (LGPD).
All Proposers	F	Shareholders' Agreement and other instruments that may affect the CONTROL. • The document must be highlighted with highlighter in the items related to administration, voting rights and veto power.
Foreign	G	Additionally, in the case of a legal entity or foreign company authorized to operate in the country, a decree authorizing it to operate and an act of registration or authorization for its operation, issued by the competent body.
Foreign	H	Additionally, in the case of a foreign legal entity or company not established in the country, the Bidder must submit a declaration according to the model contained in ANNEX 6.1.
Supplementary pension entities	I	Additionally, in the case of an open or closed supplementary pension entity, proof of express and specific authorization regarding the constitution and operation of the supplementary pension entity, granted by the competent supervisory body, and a statement that the plans and benefits administered by it are not under liquidation or intervention by the National Superintendence of Supplementary Pension - PREVIC.
Financial Institutions	J	Additionally, in the case of a financial institution, proof that it is authorized to operate as a financial institution by BACEN.
Investment funds	K	In lieu of the presentation of the documents of Lines A, B and C:
Investment funds	K.1	Constitutive act with last amendment filed with the competent body.
Investment funds	K.2	Proof of hiring a manager, if any, as well as the election of the acting administrator.

Investment funds	K.3	Proof of registration of the investment fund with the CVM
Investment funds	K.4	Regulation of the investment fund (and its subsequent amendments, if any).
Investment funds	K.5	Proof of registration of the investment fund's regulations with the competent Registry of Titles and Documents or the CVM.
Investment funds	K.6	Proof that the investment fund is duly authorized to participate in the COMPETITIVE PROCESS and that its administrator or manager, as provided for in the fund's regulation, can represent it in all acts and for all purposes of the COMPETITIVE PROCESS, assuming on behalf of the investment fund all the obligations and rights arising from the COMPETITIVE PROCESS.
Investment funds	K.7	Proof of qualification of the administrator and, if any, of the investment fund manager, before the CVM.
Investment funds	K.8	Bankruptcy clearance certificate of the administrator and manager of the fund, issued by the distribution notary(ies) of the headquarters of the same, dated up to sixty (60) calendar days prior to the date provided for in the schedule for the delivery of VOLUME 1.
Investment funds	K.9	The foreign investment fund must present a document analogous to the registration with the CVM, of the country of origin.

Broker and Accredited Representatives

All Proposers	L	Power of attorney for the ACCREDITED REPRESENTATIVES, in accordance with the models contained in ANNEX 6.2, as the case may be.
All Proposers	M	Intermediation Agreement between the ACCREDITED BROKER and the BIDDER, according to the instructions and model contained in ANNEX 5 - B3 INSTRUCTION MANUAL. Corporate documents necessary to demonstrate the powers of the signatories of the ACCREDITED BROKER, in the event that the registration of the ACCREDITED BROKERAGE FIRM with B3 is not up to date.

Special Transition Period

Parent Company	N	For the purpose of removing the impediment provided for in item 8.2.12 of the NOTICE, proof of bank deposit made by the PARENT COMPANY in the SPECIAL ADJUSTMENT ACCOUNT, in an amount corresponding to twice the amount of the works not executed during the SPECIAL TRANSITION PERIOD, as calculated based on the physical goals contained in the reports issued by the Verifier, in compliance with the rules defined in the Amendment that governs the SPECIAL
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		TRANSITION PERIOD.
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Bid Guarantee

3. A BID GUARANTEE must be presented, under the terms of the NOTICE, through:
- i. proof(s) of cash deposit as security;
 - ii. bank guarantee instrument, in favor of ANTT, according to the model contained in ANNEX 5 - B3 INSTRUCTION MANUAL;
 - iii. surety bond policy, with ANTT as insured, according to the model contained in ANNEX 5 - B3 INSTRUCTION MANUAL;
 - iv. proof of the book-entry blocking of the public debt security, according to ANNEX 5 - B3 PROCEDURES MANUAL; or
 - v. proof of capitalization bonds by single payment, with redemption for the total amount, indicating ANTT as assignee, according to ANNEX 5 - B3 PROCEDURES MANUAL.