

Availability of Information related to the activities carried out by Ombudsman of Banco Sumitomo Mitsui Brasileiro S.A., including data relating to the Qualitative rating of the services provided

Base Date: June 30, 2021

The Ombudsman represents the link between SMBCB and its customers, with the purpose of providing last resort services to the demands required by customers or users or any other equated to them of products and/or services offered by SMBCB ("Claimants"), which have not been resolved in SMBCB's primary service channels. Ombudsman also acts as a communication channel between itself and the Claimants, in the mediation of conflicts ("Purpose").

In order to comply with obligation established in article 13 of the National Monetary Council Resolution ("CMN") No. 4,860, of December 1, 2020 ("CMN Resolution No. 4,860/2020"), this Ombudsman provides, through this document, the information relating to the activities carried out by it, including data relating to the Qualitative rating of the services provided on the base date of June 30, 2021 ("Base Date").

1. Activities carried out by this Ombudsman

There are considered as Ombudsman activities/attribution and, consequently, ombudspersons as well, the following:

- ❖ Answer, register, instruct, analyze, formal and adequate treatment to Claimants' demands;
- ❖ Provide clarifications to Claimants regarding the progress of demands, informing the expected deadline for response;
- ❖ Send to Claimant a conclusive response to its demand within the legally established deadline; and
- ❖ Proposals for corrective measures or improvement in internal routines and procedures are also part of the scope of this Ombudsman, in order to avoid recurrence of occurrences related to the inefficiency of the provision of services or even irregularities in the service provided to customers of SMBCB.

A) Activities related to Ombudsman's proceedings in dealing with Demands

During the first semester of 2021, Ombudsman received the total of 29 (twenty-nine) occurrences, with formal treatment being given to Sustained and Unfounded Claims, except for Unfounded Claims for test, call drop and/or mistake call with the following classification (between the existing ones in the Ombudsman classification):

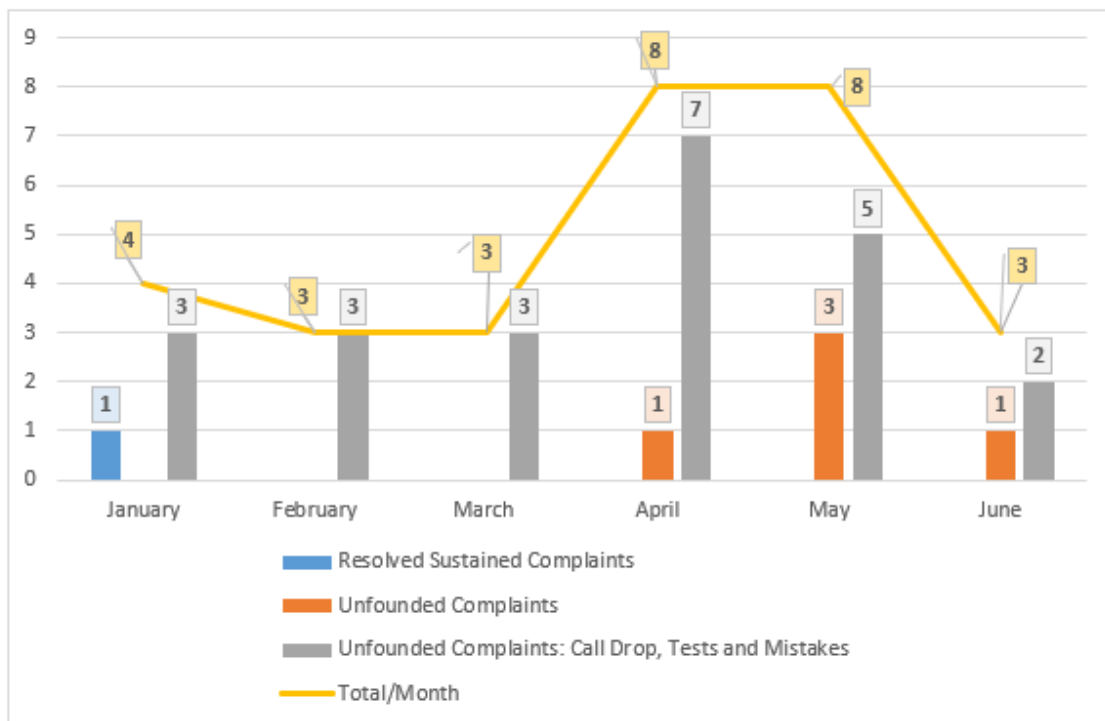
- ❖ **Resolved Sustained Complaints:** occurrence received, registered, properly treated and ended with a final and conclusive response sent to Claimant; and
- ❖ **Unfounded Complaints:** occurrence of incompetence of Ombudsman and/or that were not proven as existing after Ombudsman's investigation process (including demands that are classified as mistakes, call drop and tests registrations);

❖ **Unresolved Sustained Complaints have not been registered.**

The table below includes all demands related to the first half of 2021:

Classification	1st Semester of 2021					
	January	February	March	April	May	June
Unresolved Sustained Complaints	0	0	0	0	0	0
Resolved Sustained Complaints	1	0	0	0	0	0
Unfounded Complaints	0	0	0	1	3	1
Unfounded Complaints: Call Drop, Tests and Mistakes	3	3	3	7	5	2
Total/Month	4	3	3	8	8	3
Total/Semester	29					

Alternatively, there is the comparative chart:



B) Data related to the Qualitative Service Rating

This Ombudsman has a telephone instrument for direct rating the quality of service provided to the Claimants, structured in such a way as to obtain grades between 1 and 5, considering that 1 refers to the lowest level of satisfaction and 5 the highest level of satisfaction.

The rating must be made available within 01 (one) business day after sending the conclusive response to Claimant and being completed within 05 (five) business days, after the end of the

aforementioned period of availability, and the Satisfaction Survey is carried out by means of an External Audible Response Unit (URA) to the Claimants of treated Demands, regardless of whether the Demand is Sustained or Unfounded, pursuant to CMN Resolution No. 4.860/2020.

Notwithstanding, pursuant to article 18, item II, of Resolution No. 4.860/2020, and DEATI/BCB Circular Letter No. 3.880, of May 11, 2018, the results of the Qualitative Service Rating are duly forwarded to the Central Bank of Brazil , monthly.

Thus, data for the first half of 2021 can be found in the table below:

Qualitative Service Rating						
Classification	January	February	March	April	May	June
Total Occurrences in the month	4	3	3	8	8	3
Total Treated Demands	1	0	0	1	3	1
Qualitative Service Rating - Did not want to perform	0	0	0	0	1	0
Qualitative Service Rating - Could not contact customer/use	0	0	0	0	1	1
Qualitative Service Rating - Grade 1	0	0	0	0	0	0
Qualitative Service Rating - Grade 2	0	0	0	0	0	0
Qualitative Service Rating - Grade 3	0	0	0	0	0	0
Qualitative Service Rating - Grade 4	0	0	0	0	0	0
Qualitative Service Rating - Grade 5	1	0	0	1	1	0
Total Qualitative Service Rating made Available	1	0	0	1	3	1

It is worth emphasizing that, in accordance with current regulations, the SMBCB Ombudsman makes available on the Institution's website information related to the activities carried out by this Ombudsman.

Finally, this Ombudsman's commitment is highlighted in order to ensure that any manifestations of customers and/or users of SMBCB products and/or services are appreciated and treated by the Institution, indistinctly and impartially, with absolute confidentiality, in the constant search for the quality of service and provision of SMBCB services, dedicating special attention to ethics and transparency in the relationship between the Institution and its clients.