

## **Provision of information concerning the activities carried out by the Ombudsman of the Sumitomo Mitsui Brasileiro S.A. Bank, including data referring to the direct evaluation of the quality of the service provided**

**Base date: December 31, 2023**

The Ombudsman of the Sumitomo Mitsui Brasileiro S.A. ("SMBCB") represents the link between SMBCB and its customers, the purpose of which is to ultimately meet the demands of customers or users, or any other legally equivalent to them, of products and/or services offered by SMBCB ("Applicants"), which have not been addressed through the primary SMBCB service channels, and to act as a communication channel between SMBCB and the Applicants in the mediation of conflicts (purpose).

In view of the obligation contained in Article 13 of Resolution of the National Monetary Council (CMN) No 4.860 of 23 October 2020 (Resolution CMN No 4.860/2020), the Ombudsman shall make available, by means of this document, information on the activities carried out, including data on the direct quality assessment of the service provided at the base date of December 31, 2023 ("Base Date").

### **I. Activities of this Office**

The activities/tasks of the Ombudsman are considered as specified in the Ombudsman's policy and as made available on the SMBCB's electronic website and, consequently, of the ombudsmen:

- ❖ meet, register, instruct, analyze, treat formally and appropriately the demands of the Applicants;
- ❖ to provide clarification to the applicants on the progress of the demands by informing them of the deadline for reply;
- ❖ to send the Applicant a conclusive response to the demand within the legally foreseen deadline; and
- ❖ Proposals for corrective actions or improvement in internal routines and procedures are also part of the scope of this Notice, in order to avoid recurrence of occurrences regarding inefficiency of service delivery, SMBCB service, or even irregularities in service and services provided to SMBCB customers.

#### **A) Activities relating to the Office's activities in relation to Demands**

During the second half of 2023, a total of 6 (six) occurrences were received, and requests were formally dealt with and rejected, except for unsuccessful calls for testing, abandonment and/or deception, these being the following (among the classifications existing in the Ombudsman):

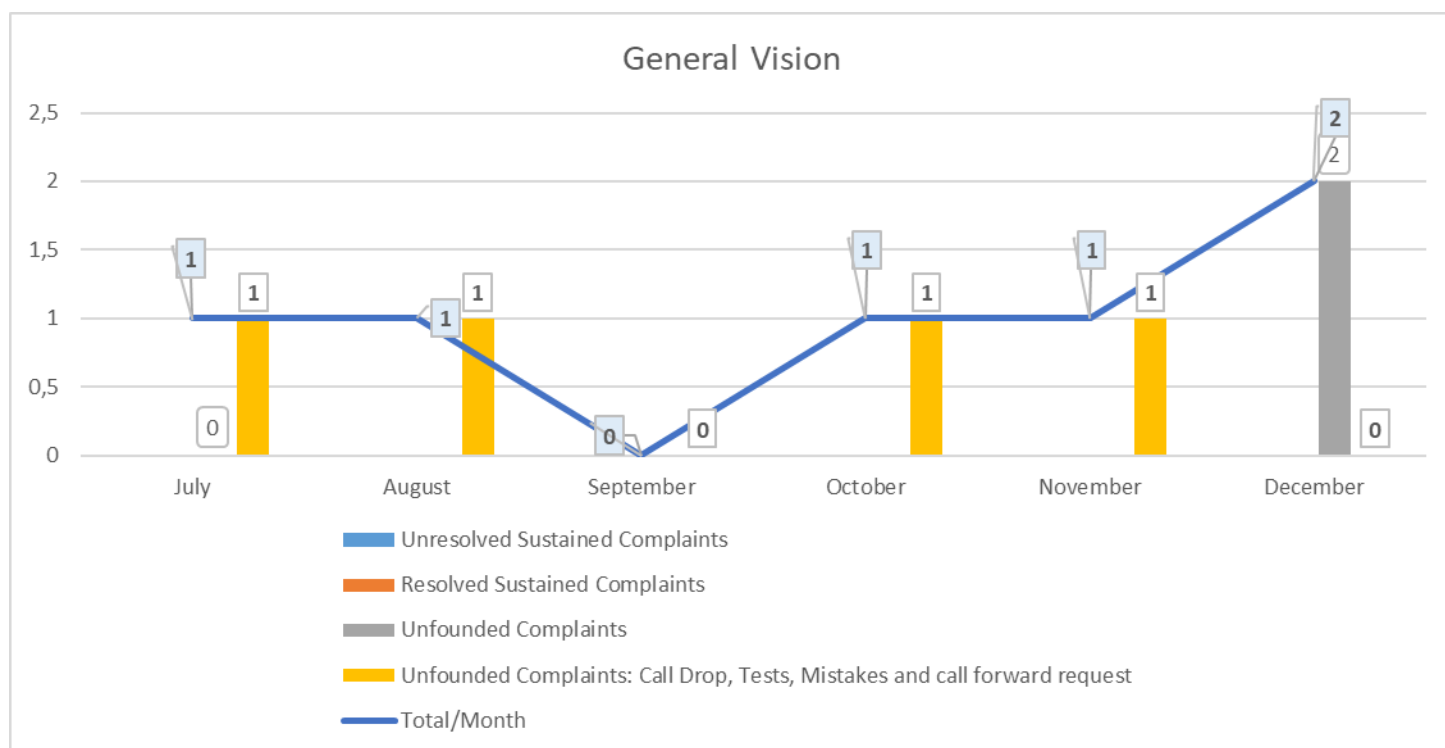
- ❖ Resolved Demand: the occurrence received, recorded, treated appropriately and in time, and finalized with final and conclusive response forwarding to the Applicant within the legal deadline, in accordance with the applicable rules; and

- ❖ Dismisses The Application: the occurrence of a demand for the ombudsman's incompetence and/or unproven after the ombudsman's investigation process (including testing, abandonment and deception links).
- ❖ **No Unsolved Original Demands were recorded.**

The following table covers all the demands for the second half of 2023:

	July	August	September	October	November	December
Unresolved Sustained Complaints	0	0	0	0	0	0
Resolved Sustained Complaints	0	0	0	0	0	0
Unfounded Complaints	0	0	0	0	0	2
Unfounded Complaints: Call Drop, Tests, Mistakes and call forward request	1	1	0	1	1	0
<b>Total/Month</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>2</b>

Alternatively, you have the comparison chart:



## B) Data Relating to Direct Quality Assessment of Outward Service

This Ombudsman has a telephone tool to directly assess the quality of service to customers and users of SMBCB products and services, structured so as to obtain notes between 1 and 5, with 1 the lowest satisfaction level and 5 the highest satisfaction level.

The assessment shall be made available within 1 (one) business day following the submission of the conclusive response to the Applicant and shall be completed within 5 (five) business days after the end of the above-mentioned deployment deadline, with the Satisfaction Search being carried out by means of

External Audited Response Unit (UAR) to the Processed Demand Applicants, regardless of whether or not demand is due pursuant to Resolution CMN No 4.860/2020.

However, pursuant to Article 18(II) of Resolution 4.860/2020 and BCB Rule No 265 of 31 March 2022, the results of the Satisfaction Surveys are duly forwarded to the Central Bank of Brazil, every month.

Thus, data for the second half of 2023 can be found in the table below:

Qualitative Service Rating						
Classification	July	August	September	October	November	December
Total Occurrences in the month	1	1	0	1	1	2
Total Treated Demands	0	0	0	0	0	0
Qualitative Service Rating - Did not want to perform	0	0	0	0	0	0
Qualitative Service Rating - Could not contact customer/user	0	0	0	0	0	0
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	0	0	0	0	0	0
Total Qualitative Service Rating made Available	0	0	0	0	0	0

It is worth emphasizing that, according to current regulations, the SMBCB Ombudsman makes available on the institution's website information related to the activities conducted by this Ombudsman.

Finally, the Ombudsman's commitment to ensure that any manifestations of customers and/or users of SMBCB products and/or services are assessed and treated by the Institution, indiscriminately and impartially, with absolute secrecy, in the constant quest for the quality of service and delivery of SMBCB services, paying special attention to ethics and transparency in relations between the institution and its customers.