

## **Protected Disclosure (Whistleblowing) reporting - SMBC Bank EU AG, Sucursal en España**

The ways of reporting in the internal reporting system and contact details of dedicated people responsible for receiving and addressing reports as per the Law 2/2023, of 20 February, regulating the protection of persons who report regulatory violations and the fight against corruption:

### **1. Addressing reports to**

Álvaro Lecona Laborda, Local Compliance Officer, SMBC Bank EU AG, Sucursal en España

E-mail: [alvaro\\_lecona@es.smbcgroup.com](mailto:alvaro_lecona@es.smbcgroup.com)

Telephone: + 34 91 312 73 03

Carsten Hoyer, Head of Compliance, SMBC Bank EU AG

Email: [carsten\\_hoyer@de.smbcgroup.com](mailto:carsten_hoyer@de.smbcgroup.com)

Telephone: +49 (0) 69 22229 8315

Dimitrij Wislych, Head of Internal Audit, SMBC Bank EU AG

Email: [dimitrij\\_wislych@de.smbcgroup.com](mailto:dimitrij_wislych@de.smbcgroup.com)

Telephone: +49 (0) 69 22229 8365

### **2. "Safecall"**

Safecall is an independent organisation working in partnership with SMBC Group in EMEA. It provides an independent way for whistleblower to raise concerns regarding SMBC Group and provides the option for whistleblower to remain anonymous as well.

On-line: <http://www.safecall.co.uk/file-a-report>

Phone: 00 800 72332255

Through this Channels, you can inform SMBC Bank EU AG confidentially (even anonymously, if you wish) of acts or omissions that may constitute legislative violations or breaches. Specifically:

- Actions or omissions that may constitute breaches of European Union law provided that:
  - o They fall within the scope of the European Union acts listed in the Annex to the Whistleblowing Directive.
  - o Affect the financial interests of the European Union as referred to in Article 325 of the Treaty on the Functioning of the European Union (TFEU); or
  - o Have an impact on the internal market, as provided for in EU law, including infringements of EU competition and State aid rules, as well as infringements of various tax rules..
- Actions or omissions that may constitute a serious or very serious criminal or administrative offense in Spain. In any case, all serious or very serious criminal or administrative offenses involving economic damage to the Public Treasury and Social Security shall be understood to include.

SMBC Bank EU AG is a financial institution firmly committed to the values of transparency and integrity. Good faith communications will never be subject to retaliation and will be treated with due confidentiality and with all the guarantees set out in Law 2/2023, of February 20, regulating the protection of persons who report regulatory violations and the fight against corruption.

We also inform you that you can make these communications through the communication channel enabled by the Independent Authority for the Protection of Whistleblowers (not yet available in Spain) or other public bodies.