

CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS

The information contained in this Certification is sought pursuant to Sections 5318(j) and 5318(k) of Title 31 of the United States Code, as added by sections 313 and 319(b) of the USA PATRIOT Act of 2001 (Public Law 107-56).

This Certification should be completed by any **foreign bank** that maintains a **correspondent account** with any U.S. bank or U.S. broker-dealer in securities (a **covered financial institution** as defined in 31 CFR 1010.605(e)). An entity that is not a foreign bank is not required to complete this Certification.

A **foreign bank** is a bank organized under foreign law and located outside of the United States (see definition at 31 CFR 1010.100(u)). A **bank** includes offices, branches, and agencies of commercial banks or trust companies, private banks, national banks, thrift institutions, credit unions, and other organizations chartered under banking laws and supervised by banking supervisors of any state (see definition at 31 CFR 1010.100(d)).¹

A **correspondent account** for a foreign bank is any account to receive deposits from, make payments or other disbursements on behalf of a foreign bank, or handle other financial transactions related to the foreign bank.

Special instruction for foreign branches of U.S. banks: A branch or office of a U.S. bank outside the United States is a foreign bank. Such a branch or office is not required to complete this Certification with respect to Correspondent Accounts with U.S. branches and offices of the same U.S. bank.

Special instruction for covering multiple branches on a single Certification: A foreign bank may complete one Certification for its branches and offices outside the United States. The Certification must list all of the branches and offices that are covered and must include the information required in Part C for **each** branch or office that maintains a Correspondent Account with a Covered Financial Institution. Use attachment sheets as necessary.

A. The undersigned financial institution, **Standard Chartered Bank**, including its branches and subsidiaries as listed on the attachment hereto, (collectively, the “**Foreign Bank**”) hereby certifies as follows:

B. Correspondent Accounts Covered by this Certification: Check **one** box.

☒ This Certification applies to **all** accounts established for Foreign Bank by Covered Financial Institutions.

☐ This Certification applies to Correspondent Accounts established by _____ (name of Covered Financial Institution(s)) for Foreign Bank.

C. Physical Presence/Regulated Affiliated Status: Check **one** box and complete the blanks.

¹ A “foreign bank” does not include any foreign central bank or monetary authority that functions as a central bank, or any international financial institution or regional development bank formed by treaty or international agreement.

☒

Foreign Bank maintains a **physical presence** in any country. That means:

- Foreign Bank has a place of business at the following street address: **1 Basinghall Avenue, London, EC2V5DD**, where Foreign Bank employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
- The above address is in **England**, where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is authorized and subject to inspection by the **Prudential Regulation Authority and Regulated by the Financial Conduct Authority (FCA) and the Prudential Regulation Authority**, the banking authority that licensed Foreign Bank to conduct banking activities.

☐

Foreign Bank does not have a physical presence in any country, but Foreign Bank is a **regulated affiliate**. That means:

- Foreign Bank is an affiliate of a depository institution, credit union, or a foreign bank that maintains a physical presence at the following street address: _____, where it employs one or more persons on a full-time basis and maintains operating records related to its banking activities.
- The above address is in _____ (insert country), where the depository institution, credit union, or foreign bank is authorized to conduct banking activities.
- Foreign bank is subject to supervision by _____, (insert Banking Authority), and the same banking authority that regulates the depository institution, credit union, or foreign bank.

☐

Foreign Bank does **not** have a physical presence in a country and is **not** a regulated affiliated.

D. Indirect Use of Correspondent Accounts: Check box to certify.

☒

No Correspondent Account maintained by a Covered Financial Institution may be used to indirectly provide banking services to certain foreign banks. Foreign Bank hereby certifies that it does **not** use any Correspondent Account with a Covered Financial Institution to indirectly provide banking services to any foreign bank that does not maintain a physical presence in any country and that is not a regulated affiliate.

E. Ownership Information: Check box 1 or 2 below, **if applicable**.

☐

1. **Form FR Y-7 is on file.** Foreign Bank has filed with the Federal Reserve Board a current Form FR Y-7 and has disclosed its ownership information on Item 4 of Form FR Y-7.

☐

2. **Foreign Bank's shares are publicly traded.** Publicly traded means that the shares are traded on an exchange or an organized over-the-counter market that is regulated by a foreign securities authority as defined in section 3(a)(50) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)(50)).

If **neither** box 1 or 2 of Part E is checked, complete item 3 below, **if applicable**.



3. Foreign Bank has no **owner(s)** except as set forth below. For purposes of this Certification, **owner** means any person who, directly or indirectly, (a) owns, controls, or has the power to vote 25 percent or more of any class of voting securities or other voting interests of Foreign Bank; or (b) controls in any manner the election of a majority of the directors (or individuals exercising similar functions) of Foreign Bank. For purposes of this Certification, (i) **person** means any individual, bank, corporation, partnership, limited liability company or any other legal entity; (ii) **voting securities or other voting interests** means securities or other interests that entitle the holder to vote for or select directors (or individuals exercising similar functions); and (iii) members of the same family² shall be considered one **person**.

Name	Address
Standard Chartered PLC	1 Basinghall Avenue London EC2V 5DD, U.K.
Standard Chartered Bank is wholly owned by Standard Chartered Holdings Limited that is wholly owned by Standard Chartered PLC. The latter is a public company quoted on the London and Hong Kong Stock Exchanges and is not owned or controlled by any large direct owner or two or more small direct owners.	

F. Process Agent: Complete the following:

The following individual or entity: **Standard Chartered Bank** is a resident of the United States at the following street address: **1095 Avenue of the Americas, New York, NY 10036**, and is authorized to accept service of legal process on behalf of Foreign Bank from the Secretary of the Treasury or the Attorney General of the United States pursuant to Section 5318(k) of title 31, United States Code.

G. General

Foreign Bank hereby agrees to notify in writing each Covered Financial Institution at which it maintains any Correspondent Account of any change in facts or circumstances reported in this Certification. Notification shall be given within 30 calendar days of such change.

Foreign Bank understands that each Covered Financial Institution at which it maintains a correspondent Account may provide a copy of this Certification to the Secretary of the Treasury and the Attorney General of the United States. Foreign Bank further understands that the statements contained in this Certification may be transmitted to one or more Departments or agencies of the United States of America for the purpose of fulfilling such departments' and agencies' governmental functions.

I, Patricia Sullivan, certify that I have read and understand this Certification, that the statements made in this Certification are complete and correct, and that I am authorized to execute this Certification on behalf of Foreign Bank.

² The same family means parents, spouses, children, siblings, uncles, aunts, grandparents, grandchildren, first cousins, stepchildren, stepsiblings, parents-in-law and spouses of any of the foregoing. In determining the ownership interests of the same family, any voting interest of any family member shall be taken into account.

Standard Chartered Bank

By: 

Name: Patricia Sullivan

Title: Global Co-Head, Financial Crime Compliance

Address:

Standard Chartered Bank
1 Basinghall Avenue
London EC2V 5DD, U.K.

Executed on the 4th of February, 2019

Received and reviewed by:

Name: _____

Title: _____

For: _____

Date: _____

Branch and Subsidiary Certifications

This Patriot Act Certification dated 4 February 2019 covers the following Standard Chartered Bank Branches and Subsidiaries:

Company Name	Entity Type	Address	Country	Regulatory Authority	Physical Presence/ Regulated Affiliate
Standard Chartered Bank Angola S.A.	Subsidiary	Escritório de Representação Rua Gamal Abdel Nasser, Edifício Tres Torres, Eixo Viário, Distrito Urbano da Ingombota, Município de Luanda, Província de Luanda	Angola	Banco Nacional de Angola	Physical Presence
Standard Chartered Bank	Branch	Level 5, 345 George Street, Sydney NSW 2000, PO Box 7042, Sydney NSW 2001	Australia	Australian Prudential Regulation Authority	Physical Presence
Standard Chartered Bank*	Branch	C/O Ansbacher (Bahamas) Ltd. 308 East Bay Street, 4th Floor, P.O. Box N-7768 Nassau	Bahamas	Central Bank of The Bahamas	Regulated Affiliate
Standard Chartered Bank	Branch	Building No. 180, Road 383, Block 315, Government Road, Manama. PO Box 29	Bahrain	Central Bank of Bahrain	Physical Presence
Standard Chartered Bank	Branch	67 Gulshan Avenue, Gulshan, Dhaka 1212	Bangladesh	Bangladesh Bank	Physical Presence
Standard Chartered Bank Botswana Limited	Subsidiary	Standard Chartered House 5th Floor Standard House Building, The Mall, Queens Road, PO Box 496, Gaborone	Botswana	Central Bank of Botswana	Physical Presence
Standard Chartered Bank (Brasil) S.A. - Banco de Investimento	Subsidiary	Avenida Brigadeiro Faria Lima, 3600 – 7th floor, Sao Paulo, 04538-132	Brazil	Central Bank of Brazil	Physical Presence

Standard Chartered Bank	Branch	51-55, Jalan Sultan, Omar Ali Saifuddien, Jalan Sultan Complex, Bandar Seri Begawan, BS8811	Brunei Darussalam	Monetary Authority of Brunei	Physical Presence
Standard Chartered Bank Cameroon S.A	Subsidiary	1143 Boulevard de la Liberte, Douala, BP 1784, Douala, Littoral Region	Cameroon	Commission Bancaire de l'Afrique Centrale	Physical Presence
Standard Chartered Bank (China) Limited	Subsidiary	Standard Chartered Tower 201 Century Avenue, Pudong , Shanghai 200120	China	China Banking Regulatory Commission, Peoples Bank of China	Physical Presence
Standard Chartered Bank Cote d' Ivoire SA	Subsidiary	23 Boulevard de la République, Abidjan 17, 17 B.P. 1141	Cote d'Ivoire	Central Bank of West African States	Physical Presence
Standard Chartered Bank	Branch	Ross Road, Stanley, Falkland Islands, FIQQ 1ZZ	Falkland Islands	Financial Conduct Authority and Prudential Regulation Authority	Physical Presence
Standard Chartered Bank Gambia Limited	Subsidiary	8 Ecowas Avenue, Banjul	Gambia	The Central Bank of The Gambia	Physical Presence
Standard Chartered Bank	Branch	Franklinstrasse 46-48, 60486, Frankfurt am Main	Germany	BaFin Bundesanstalt fur Finanzdienstleistungsaufsicht and Deutsche Bundesbank	Physical Presence
Standard Chartered AG	Subsidiary	Taunusanlage 16, 60325, Frankfurt am Main	Germany	Bundesanstalt für Finanzdienstleistungsaufsicht - Federal Financial Supervisory Authority	Physical Presence
Standard Chartered Bank Ghana Limited	Subsidiary	Standard Chartered Bank Building, 6 John Evans Atta Mills High Street, P.O. Box 768, High Street, Accra	Ghana	Central Bank of Ghana	Physical Presence
Standard Chartered Bank (Hong Kong) Limited	Subsidiary	32nd Floor, 4-4A Des Voeux Road Central	Hong Kong	Hong Kong Monetary Authority	Physical Presence
Standard Chartered Bank	Branch	Crescenzo, C-38/39 'G' Block, Bandra Kurla Complex, Bandra East, Mumbai, 400 051	India	Reserve Bank of India	Physical Presence
Standard Chartered Bank	Branch	Menara Standard Chartered, Jl. Prof. DR. Satrio No.164, Jakarta 12930	Indonesia	Bank of Indonesia/BAPEPAM	Physical Presence
Standard Chartered Bank	Branch	SCB Baghdad, East Karadah, Baghdad	Iraq	Central Bank of Iraq	Physical Presence

Standard Chartered Bank	Branch	Sanno Park Tower 21st floor, 2-11-1 Nagata-cho, Chiyoda-ku, Tokyo, 100-6155	Japan	Financial Services Agency	Physical Presence
Standard Chartered Bank	Branch	Jersey Branch, PO Box 80, 15 Castle Street, St Helier, Jersey JE4 8PT, Channel Islands.	Jersey	Jersey Financial Services Commission	Physical Presence
Standard Chartered Bank	Branch	Shmeissani, Al-Thaqafa Street, Building no.2, PO Box 926190, Amman 11190	Jordan	Central Bank of Jordan	Physical Presence
Standard Chartered Bank Kenya Limited	Subsidiary	Standard Chartered Chiromo Number 48, Westlands Road, PO Box 30003 – 00100, Nairobi	Kenya	Central Bank of Kenya	Physical Presence
Standard Chartered Bank	Branch	Unit 807, 8/F Office Tower, Macau Landmark, Avenida de Amizade, Z.A.P.E.	Macau	Monetary Authority of Macao	Physical Presence
Standard Chartered Bank Offshore, Labuan Branch	Branch	Level 10(F), Main Office Tower, Financial Park Complex, Jalan Merdeka, Sabah 87000, Labuan F T	Malaysia	Labuan Financial Services Authority	Physical Presence
Standard Chartered Bank Malaysia Berhad	Subsidiary	Level 16, Menara Standard Chartered, 30 Jalan Sultan Ismail, 50250 Kuala Lumpur	Malaysia	Central Bank of Malaysia (Bank Negara Malaysia)	Physical Presence
Standard Chartered Saadiq Berhad	Subsidiary	Level 16, Menara Standard Chartered, 30 Jalan Sultan Ismail, 50250 Kuala Lumpur	Malaysia	Central Bank of Malaysia (Bank Negara Malaysia)	Physical Presence
Standard Chartered Bank (Mauritius) Limited	Subsidiary	6th Floor, Standard Chartered Tower, 19 Bank Street, Cyber City, Ebène 75501	Mauritius	The Bank of Mauritius (Central Bank)	Physical Presence
Standard Chartered Bank Nepal Limited	Subsidiary	Naya Baneshwore, Madan Bhandari Marg, Ward No.34, Kathmandu Metropolitan City, Bagmati Zone, Kathmandu	Nepal	Nepal Rastra Bank	Physical Presence
Standard Chartered Bank Nigeria Limited	Subsidiary	142, Ahmadu Bello Way, Victoria Island, Lagos	Nigeria	Central Bank of Nigeria	Physical Presence

Standard Chartered Bank	Branch	Super Plaza Building - 6th Floor Al Azaiba, Sultanate of Oman	Oman	Central Bank of Oman	Physical Presence
Standard Chartered Bank (Pakistan) Limited	Subsidiary	P.O. Box No. 5556, I.I Chundrigar Road, Karachi 74000	Pakistan	State Bank of Pakistan	Physical Presence
Standard Chartered Bank Philippines Branch	Branch	SkyPlaza Bldg., 6788 Ayala Avenue, Makati City, 1226 Philippines	Philippines	Central Bank of the Philippines (Bangko Sentral ng Pilipinas)	Physical Presence
Standard Chartered Bank	Branch	Burj Doha, Al Corniche Street PO Box 29 Doha	Qatar	Qatar Central Bank	Physical Presence
Standard Chartered Bank Korea Limited	Subsidiary	47 Jongno, Jongno-gu, Seoul, 03160	Republic of Korea	Financial Supervisory Commission (FSC) Financial Supervisory Service (FSS)	Physical Presence
Standard Chartered Capital (Saudi Arabia)	Subsidiary	Standard Chartered Capital 7th Floor, Al Faisalliah Tower King Fahad Street PO Box No. 295522 Riyadh 11351	Saudi Arabia	Saudi Arabia Capital Markets Authority	Physical Presence
Standard Chartered Bank Sierra Leone Limited	Subsidiary	Lightfoot Boston Street Branch 9 & 11, Lightfoot Boston Street, Freetown	Sierra Leone	Central Bank of Sierra Leone	Physical Presence
Standard Chartered Bank	Branch	Marina Bay Financial Centre (Tower 1), 8 Marina Boulevard, Level 27, Singapore, 018981	Singapore	Monetary Authority of Singapore	Physical Presence
Standard Chartered Bank (Singapore) Limited	Subsidiary	Marina Bay Financial Centre (Tower 1), 8 Marina Boulevard, Level 27, Singapore, 018981	Singapore	Monetary Authority of Singapore	Physical Presence
Standard Chartered Bank	Branch	5th Floor, No.4 Sandown Valley Crescent, Sandton 2196, Gauteng Province	South Africa	South African Reserve Bank	Physical Presence
Standard Chartered Bank	Branch	37 York Street, Colombo-01	Sri Lanka	Central Bank of Sri Lanka	Physical Presence
Standard Chartered Bank Switzerland SA	Subsidiary	38, General Guisan-Quai, 8002, Zurich	Switzerland	Swiss National Bank (SNB) for Geneva	Physical Presence

Standard Chartered Bank	Branch	4F., No. 168 , Dunhua North Road.,Songshan District, Taipei City 105	Taiwan	Banking Bureau - Financial Supervisory Commission	Physical Presence
Standard Chartered Bank (Taiwan) Limited	Subsidiary	No. 168 , Dunhua North Road.,Songshan District, Taipei City 105	Taiwan	Banking Bureau - Financial Supervisory Commission	Physical Presence
Standard Chartered Bank Tanzania Limited	Subsidiary	Standard Chartered, International House Building, Corner Garden Avenue, Ohio Street, P.O. Box 9011, Dar-es-Salaam	Tanzania	Bank of Tanzania	Physical Presence
Standard Chartered Bank (Thai) Public Company Limited	Subsidiary	90 North Sathorn Road, Silom, Bangrak, Bangkok, Thailand, 10500	Thailand	Bank of Thailand	Physical Presence
Standard Chartered Yatirim Bankasi Turk Anonim Sirketi	Subsidiary	Buyukdere Cad. Yapi Kredi Plaza C Blok, Kat 15, Levent, Istanbul, 34330	Turkey	BRSA Banking Regulation and Supervision Agency	Physical Presence
Standard Chartered Bank	Branch	Standard Chartered Tower Downtown Dubai, P.O Box 999 Dubai	UAE	Dubai Financial Services Authority	Physical Presence
Standard Chartered Bank	Branch	Unit 301, Level 3, Precint Buiding 1, Dubai International Financial Centre Dubai 999	UAE	Dubai Financial Services Authority	Physical Presence
Standard Chartered Bank Uganda Limited	Subsidiary	Standard Chartered Bank Building, 5 Speke Road, PO Box 7111, Kampala	Uganda	Uganda Securities Exchange	Physical Presence
Standard Chartered Bank	Branch	1 Basinghall Avenue, London, EC2V 5DD	United Kingdom	Prudential Regulation Authority Financial Conduct Authority	Physical Presence
Standard Chartered Bank	Subsidiary	1 Basinghall Avenue, London, EC2V 5DD	United Kingdom	Prudential Regulation Authority Financial Conduct Authority	Physical Presence
Standard Chartered Bank	Branch	1095 Avenue of the Americas, New York, NY 10036	United States	Federal Reserve Bank New York State Department of Financial Services	Physical Presence

Standard Chartered Bank	Branch	50 Fremont Street, Suite 2210 San Francisco, CA 94104	United States	Federal Reserve Bank California Department of Business Oversight	Physical Presence
Standard Chartered International (USA) LLC	Subsidiary	Corporation Trust Center, 1209 Orange Street, Wilmington DE 19801	United States	Federal Reserve Bank New York State Department of Financial Services	Physical Presence
Standard Chartered Bank International (Americas) Limited	Subsidiary	1095 Avenue of Americas, New York City NY 10036	United States	Federal Reserve Bank New York State Department of Financial Services	Physical Presence
Standard Chartered Bank (Vietnam) Limited	Subsidiary	Room 1810-1815, Level 18, Keangnam Hanoi Landmark Tower, Pham Hung Road, Me Tri Ward, Nam Tu Liem District, Hanoi, 10000	Vietnam	State Bank of Vietnam	Physical Presence
Standard Chartered Bank Zambia Plc	Subsidiary	Standard Chartered House PO Box 32238, Cairo Road, Lusaka, 10101	Zambia	Central Bank of Zambia	Physical Presence
Standard Chartered Bank Zimbabwe Limited	Subsidiary	1st Floor, Africa Unity Square Cnr Nelson Mandela/Sam Nujoma Street	Zimbabwe	Reserve Bank of Zimbabwe	Physical Presence