



STATE STREET.

APPENDIX A TO SUBPART I OF PART 103 --  
CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS  
FOR FOREIGN BANKS

[OMB Control Number 1506-0043]

***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 C.F.R. 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 C.F.R. 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 C.F.R. 1010.100(d)). [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.]

A **Correspondent Account** for a foreign bank is any account established 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, State Street Bank and Trust Company, on behalf of each of its foreign branches, subsidiaries, and affiliates listed in the attachment hereto (individually referred to as “**Foreign Bank**”, and collectively as “**Foreign Banks**”) hereby certifies as follows:

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### 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 Affiliate Status:** The Attachment indicates the countries where each Foreign Bank maintains a physical presence. The Foreign Bank marked with an asterisk (\*) in the Attachment indicates the countries where Foreign Bank does not maintain a physical presence but is a regulated affiliate.

- Foreign Bank maintains a **physical presence** in any country.

This means that Foreign Bank listed in Attachment:

- Has a place of business at the following street address indicated in the attachment hereto where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
- Is authorized to conduct banking activities in the country where its place of business is located.
- Is subject to inspection by the Banking Authorities that licensed Foreign Bank to conduct banking activities.
- Is an affiliate of State Street Bank and Trust Company, a depository institution that maintains a physical presence at the following street address: State Street Financial Center, One Lincoln Street, Boston, Massachusetts 02111, USA, where it employs one or more persons on a full-time basis and maintains operating records related to its banking activities.
- Is subject to supervision by the Board of Governors of the Federal Reserve System and the Massachusetts Division of Banks, the same banking supervisory agencies that regulate State Street Corporation and State Street Bank and Trust Company.

### 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

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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 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 family shall be considered one **person**. [*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.*]

Name	Address
State Street Corporation	State Street Financial Center, One Lincoln Street, Boston, Massachusetts 02111, USA

### F. Process Agent:

The following individual or entity: *the Senior Vice President of State Street Global Security* is a resident of the United States at the following street address: *State Street Bank and Trust*  
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*Company, State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111* is authorized to accept service of legal process on behalf of the Foreign Banks 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**

The Foreign Banks hereby agree to notify in writing each Covered Financial Institution at which they maintain 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 Banks understand 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 Banks further understand 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, Lynne Federman, 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.

A handwritten signature in black ink, appearing to read 'Lynne Federman', written over a horizontal line.

Lynne Federman  
Senior Vice President  
State Street Bank and Trust Company

Updated on July 14, 2016



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Attachment

Name	Physical Presence	Regulated Affiliate	Street Address	Country	Banking Authority	Owned By	Owners Address
State Street Bank and Trust Company - Sydney Branch	Yes	N/A	Level 14, 420 George Street, Sydney, NSW 2000	Australia	Australian Prudential Regulation Authority Australian Securities and Investment Commission	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust Company - Canada Branch	Yes	N/A	30 Adelaide Street East Suite 1100 Toronto, Ontario M5C 3G6	Canada	Office of the Superintendent of Financial Institutions	Foreign Bank Branch of State Street Bank and Trust Company	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust Company – Canada Branch	Yes	N/A	770 Sherbrooke Street West, Suite 1700 Montreal, Quebec Canada H3A 1G1	Canada	Office of the Superintendent of Financial Institutions	Foreign Bank Branch of State Street Bank and Trust Company	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Trust Company Canada	Yes	N/A	30 Adelaide Street East Suite 1100 Toronto, Ontario M5C 3G6	Canada	Office of the Superintendent of Financial Institutions	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Trust Company Canada	Yes	N/A	770 Sherbrooke Street West, Suite 1700 Montreal, Quebec Canada H3A 1G1	Canada	Office of the Superintendent of Financial Institutions	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA



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Name	Physical Presence	Regulated Affiliate	Street Address	Country	Banking Authority	Owned By	Owners Address
State Street Bank and Trust Company - Grand Cayman Branch	Yes	Yes	45 Market Street Suite 3206 A Gardenia Court Camana Bay Grand Cayman	Cayman Islands	Cayman Monetary Authority	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
This State Street Cayman Trust Company, Ltd.	Yes	N/A	45 Market Street Suite 3206 A Gardenia Court Camana Bay Grand Cayman	Cayman Islands	Cayman Monetary Authority	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust Company, Jersey Branch	Yes	Yes	Lime Grove House Green Street St Helier Jersey JE1 2ST Channel Islands	Channel Islands	Jersey Financial Services Commission	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Banque, S.A.	Yes	N/A	Immeuble Defense Plaza 23 - 25 Rue Delariviere – Lefoullon 92062 Paris LeDefense Cedex France	France	ACPR "Autorité de Contrôle Prudentiel et de Résolution"	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank International GmbH	Yes	N/A	Brienner Strasse 59 80333 Munich	Germany	Deutsche Bundesbank, Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA



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Name	Physical Presence	Regulated Affiliate	Street Address	Country	Banking Authority	Owned By	Owners Address
State Street Bank International GmbH – Frankfurt Branch	Yes	N/A	Scala Gebäude Solmsstrasse 83 60486 Frankfurt	Germany	Deutsche Bundesbank, Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank International GmbH – Vienna Branch	Yes	N/A	Schottengasse 4 2 <sup>nd</sup> Floor A-1010 Vienna	Austria	Österreichische Finanzmarktaufsicht (FMA)	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank International GmbH, Luxembourg Branch	Yes	N/A	49 Avenue J.F. Kennedy 1885 Luxembourg	Luxembourg	Commission de Surveillance du Secteur Financier	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank International GmbH, Amsterdam Branch	Yes	N/A	Thomas R Malthusstraat 1-3 Amsterdam, 1066 Jr	Netherlands	De Nederlandsche Bank	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank International GmbH, Poland Branch	Yes	N/A	Centrum Biurowe Kazimierz (Head office) Podgórska 36 31-536 Kraków	Poland	Unregulated	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA



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Name	Physical Presence	Regulated Affiliate	Street Address	Country	Banking Authority	Owned By	Owners Address
State Street Bank International GmbH, Poland Branch	Yes	N/A	Bonarka Building B Puszkarska 7G 30-644 Kraków	Poland	Unregulated	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank International GmbH, Poland Branch	Yes	N/A	Edison Building Kolowa 8 30-134 Kraków	Poland	Unregulated	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank International GmbH – Zurich Branch	Yes	N/A	Beethovenstr. 19 8027 Zurich	Switzerland	Financial Market Supervisory Authority (FINMA).	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank International GmbH – London Branch	Yes	N/A	20 Churchill Place Canary Wharf London E 14 5HJ	UK - England	Financial Conduct Authority (FCA) Prudential Conduct Authority	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank S.p.A.	Yes	N/A	Via Ferrante Aporti, 10 20125 Milan	Italy	Banca D'Italia / Bank of Italy	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA





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Name	Physical Presence	Regulated Affiliate	Street Address	Country	Banking Authority	Owned By	Owners Address
State Street Bank S.p.A.	Yes	N/A	Via Nizza, 262/57 10126 Torino Italy	Italy	Banca D'Italia / Bank of Italy	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank Luxembourg, S.A.	Yes	N/A	49 Avenue J.F. Kennedy 1855 Luxembourg	Luxembourg	Commission de Surveillance du Secteur Financier	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust Company - Tokyo Branch	Yes	N/A	Midtown Tower 39/40th Floor 9-7-1 Akasaka, Minato-Ku Tokyo 107-6239 Japan	Japan	Financial Services Agency	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Trust and Banking Company, Limited	Yes	N/A	Midtown Tower 39/40th Floor 9-7-1 Akasaka, Minato-Ku Tokyo 107-6239 Japan	Japan	Financial Services Agency	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Trust and Banking Company, Limited	Yes	N/A	MM Park Building 3-6-3 Minato Mirai, 6th Floor Nishi-Ku Yokohama 220-0012, Japan	Japan	Financial Services Agency	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA



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Name	Physical Presence	Regulated Affiliate	Street Address	Country	Banking Authority	Owned By	Owners Address
State Street Trust and Banking Company, Limited – Fukuoka Business Office	Yes	N/A	Gofukumatchi Business Center 9 <sup>th</sup> floor 10-10 Kami-Gofukumachi, Hakata-ku Fukuoka City, Fukuoka 812-0036 Japan	Japan	Financial Services Agency	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust – Beijing Branch	Yes	N/A	Unit 808-810, Winland International Finance Center, No. 7, Finance Street Xicheng District, Beijing, 100033	People's Republic of China	China Banking Regulatory Commission; People's Bank of China; State Administration of Foreign Exchange.	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust Company - Hong Kong Branch	Yes	N/A	68th Floor, Two International Finance Centre 8 Finance Street, Central, Hong Kong	People's Republic of China	Hong Kong Monetary Authority	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust Company - Seoul Branch	Yes	N/A	Center 1 West 31th Floor 26 Eulji-Ro 5-gil, Jung-gu Seoul 100-210 Korea	South Korea	Financial Supervisory Service	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust Company - Singapore Branch	Yes	N/A	168 Robinson Road 33-01 Capital Tower Singapore 068912	Singapore	Monetary Authority of Singapore	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA

State Street: Company Internal  
July 14, 2016

General



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Name	Physical Presence	Regulated Affiliate	Street Address	Country	Banking Authority	Owned By	Owners Address
State Street Bank and Trust Company - Taipei Branch	Yes	N/A	207 Tun Hwa South Road, Sect 2 19th Floor Taipei	Taiwan	Financial Supervisory Commission, Taiwan Central Bank of China (Taiwan)	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank and Trust Company - London Branch	Yes	N/A	20 Churchill Place Canary Wharf London E 145HJ England	UK - England	Financial Services Authority	State Street Corporation	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank Europe Ltd.	Yes	N/A	20 Churchill Place Canary Wharf London E 145HJ England	UK - England	Financial Services Authority	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA
State Street Bank Europe (Amsterdam Branch)	Yes	N/A	Thomas R Malthusstraat 1-3 1066 JR Amsterdam	Netherlands	De Nederlandsche Bank	State Street International Holdings (a wholly-owned subsidiary of State Street Bank and Trust Company)	State Street Financial Center One Lincoln Street Boston, Massachusetts, 02111 USA