

## **Barclays USA PATRIOT ACT Certificate**

Pursuant to the USA Patriot Act and final rules issued by the U.S. Department of the Treasury, a U.S. bank or a U.S. broker-dealer in securities (a "Covered Financial Institution") is required to obtain certain information from any "Foreign Bank" that maintains a correspondent account with it.

As permitted by the final rules, the Barclays Group has prepared a Global Certificate for use by any financial institution that believes it requires a USA PATRIOT ACT Certificate from a Barclays entity, for example, an overseas branch of Barclays Bank PLC.

Please use this certificate in preference to requesting individual Barclays businesses to complete a separate certificate. If the particular Barclays business that maintains a correspondent account with your institution is not listed in our certificate, or if you have any questions with regard to this Certificate, please advise us by e-mailing Barclays.

## 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 State 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 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)).<sup>1</sup>

<sup>1</sup> 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 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 instructions for foreign branches of U.S. banks:* A branch or office of a U.S. bank outside the United State 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 instructions 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, Barclays PLC and its foreign branches and entities listed 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 Affiliate Status:** Check **one** box and complete the blanks.

- Foreign Banks maintains a **physical presence** in any country. That means:
- Each of the Foreign Banks has a place of business at the following street address set out 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.
  - The address is in the country where the particular Foreign Bank is authorised to conduct banking activities.
  - The particular Foreign Bank is subject to inspection by the banking authority that licenses the particular Foreign bank to conduct banking activities as set out in the attachment hereto.
- 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), 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 affiliate.

**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. Each of the Foreign Banks

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. Each of the Foreign Banks 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<sup>2</sup> shall be considered one **person**.

In the case of Barclays Bank PLC and all branches thereof, Barclays PLC (Whose registered address is 1 Churchill place, London, E14 5HP, United Kingdom) is the sole shareholder.

In the case of Barclays Bank UK PLC and all branches thereof, Barclays PLC (Whose registered address is 1 Churchill place, London, E14 5HP, United Kingdom) is the sole shareholder.

In the case of the entities listed in the section headed "wholly owned subsidiaries" in the attachment hereto, Barclays PLC (whose address is 1 Churchill Place, London, E14 5HP, United Kingdom) is the ultimate shareholder.

**F. Process Agent:** complete the following.

The following individual or entity: Barclays Bank PLC, New York Branch is a resident of the United States at the following street address:

745 7<sup>th</sup> Avenue, New York, NY 10019 USA, 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**

Each of the Foreign Banks 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.

Each of the Foreign Banks 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. Each of the Foreign Banks 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, Richard Ahern, Head of Financial Crime Compliance for Barclays Bank PLC, certify that I have read and understand this Certification and that the statements made in this Certification are true and correct.

This certification is made on behalf of Barclays PLC, a banking institution organised under the laws of the United Kingdom.

*Richard Ahern Head of Financial Crime BB Plc*

Executed on this 3<sup>rd</sup> day of March 2021.

**Received and reviewed by:**

Name:

Title:

For:

Date:

**Branches**

Entity Name	Country	Entity Type	Address	Regulator(s)
Barclays Bank PLC	Australia	Branch	c/o Mertons Corporate Services Pty Ltd Level 7 330 Collins Street Melbourne Victoria 3000 Australia	Australian Securities and Investments Commission (ASIC)
Barclays Bank PLC, Canada Branch	Canada	Branch	333 Bay Street, Suite 4910, Box 9, Toronto, Ontario	Office of the Superintendent of Financial Institutions (OSFI) Canada Deposit Insurance Corporation Investment Industry Regulatory Organisation of Canada Ontario Securities Commission Quebec Securities Commission British Columbia Securities Commission
Barclays Bank PLC, Cayman Islands Branch	Cayman Islands (The)	Branch	CIBC Financial Centre, 11 Dr. Roy's Drive, P.O. Box 694 Grand Cayman JY1-1107,	Cayman Islands Monetary Authority
Barclays Bank PLC, Shanghai Branch	China (Shanghai)	Branch	Suite 3101, 3102B, Azia Centre, 1233, Lujiazui Ring Road, Pudong, Shanghai 200120	People's Bank of China China Banking Regulatory Commission State Administration Of Foreign Exchange China Securities Regulatory Commission
Barclays Bank PLC	China (Hong Kong)	Branch	L41, Cheung Kong Center, 2 Queen's Road Central, Central, Hong Kong	Hong Kong Monetary Authority Securities & Futures Commission
Barclays Bank PLC, Frankfurt Branch	Germany (Frankfurt)	Branch	TaunusTurm, Taunustor 1, 60310 Frankfurt am Main	Federal Financial Services Supervisory Authority (BaFin) Deutsche Bundesbank
Barclays Bank PLC, Hamburg Branch	Germany (Hamburg)	Branch	Gasstr. 4c, 22761 Hamburg	Federal Financial Services Supervisory Authority (BaFin) Deutsche Bundesbank
Barclays Bank PLC	Guernsey	Branch	Le Marchant House, Le Truchot, St Peter Port, GY1 3BE	Guernsey Financial Services Commission
Barclays Bank PLC	India	Branch	Ceejay House, Shivsagar Estate, Dr. A. Besant Road, Worli, Mumbai 400 018	Reserve Bank Of India Securities & Exchange Board of India
Barclays Bank PLC, GIFT City Branch	India	Branch	Unit No. 413, 4th floor Brigade International Financial Centre, Building No. 14A, Block 14, Zone 1, GIFT City SEZ, India	Reserve Bank Of India

Barclays Bank PLC	Ireland	Branch	Two Park Place, Hatch Steeet, Dublin 2	Central Bank of Ireland
Barclays Bank PLC	Isle of Man	Branch	Barclays House, Victoria Street, Douglas, Isle of Man	Isle Of Man Financial Services Authority
Barclays Bank PLC	Israel	Branch	21 Ha'arba'aa St. (22nd floor), Tel Aviv 64739	Bank Of Israel
Barclays Bank PLC	Italy	Branch	Via della Moscova, 18 – 20121 Milano	Bank of Italy
Barclays Bank PLC, Tokyo Branch	Japan	Branch	31f Roppongi Hills Mori Tower, 6-10-1, Roppongi, Minato-ku, Tokyo 106-6131	Japan Financial Services Agency Financial Futures Association of Japan Japan Securities Dealers Association
Barclays Bank PLC	Jersey	Branch	13 Library Place, St Helier, Jersey JE4 8NE	Jersey Financial Services Commission
Barclays Bank PLC	Monaco	Branch	31, avenue de la Costa, Costa, Monte Carlo	Monaco Commission for the Control of Financial Activities Prudential Supervisory Authority (ACPR)
Barclays Bank PLC, QFC Branch	Qatar	Branch	Burj Doha, Level 21, West Bay, PO Box 27110, Doha	Qatar Financial Centre Regulatory Authority
Barclays Bank PLC	Singapore	Branch	10 Marina Boulevard, #24-01 Marina Bay Financial Centre Tower 2, Singapore 018983	Monetary Authority Of Singapore
Barclays Bank PLC	Switzerland (Zurich)	Branch	Beethovenstrasse 19, 8027 Zurich	Swiss Financial Market Supervisory Authority (FINMA)
Barclays Bank PLC, London, Branch Office, Chêne-Bougeries (Geneva)	Switzerland (Geneva)	Branch	18-20 Chemin de Grange-Canal, 1224 Chêne-Bougeries	Swiss Financial Market Supervisory Authority (FINMA)
Barclays Bank PLC, Abu Dhabi Branch	United Arab Emirates	Branch	Abu Dhabi Mall Building East Tower, Trade Centre Towers, Office Number 02, 7 <sup>th</sup> floor 2 <sup>nd</sup> street, Abu Dhabi	Central Bank Of The UAE
Barclays Bank PLC, Dubai International Financial Centre Branch	United Arab Emirates	Branch	Level 4, Building 4, The Gate Village, DIFC, PO Box 506504, Dubai UAE	Dubai Financial Services Authority

### Wholly Owned Subsidiaries

Barclays PLC (whose address is 1 Churchill Place, London, E14 5HP, United Kingdom) is the sole ultimate shareholder of the following:

Entity Name	Country	Entity Type	Address	Regulator(s)
Barclays Bank PLC	United Kingdom	Wholly Owned Subsidiary	1 Churchill Place, London E14 5HP	Prudential Regulation Authority Financial Conduct Authority
Barclays Capital Canada Inc	Canada	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	333 Bay Street, Suite 4910 Toronto ON M5H 2R2	Investment Industry Regulatory Organization of Canada (IIROC) Alberta Securities Commission British Columbia Securities Commission Manitoba Securities Commission New Brunswick Securities Commission Saskatchewan Financial Services Commission Canada Deposit Insurance Corporation
Barclays Insurance Guernsey PCC Limited	Guernsey C.I.	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	P.O. Box 41, Floor 2, Le Marchant House, Le Truchot, St Peter Port, GY1 3BE	Guernsey Financial Services Commission
Barclays Capital Asia Limited	Hong Kong	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	Level 41, Cheung Kong Center, 2 Queen's Road Central	Securities and Futures Commission
Barclays Investments & Loans (India) Private Limited	India	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	Level 10, Block B6, Nirlon Knowledge Park Off Western Express Highway, Goregaon (East), Mumbai, 40063	Reserve Bank of India
Barclays Securities (India) Private Limited	India	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	208 Ceejay House, Shivsagar Estate, Dr A Beasant Road, Worli, Mumbai, 400 018	Securities & Exchange Board of India National Securities Depository Limited Association Of Mutual Funds In India
Barclays Wealth Trustees (India) Private Limited	India	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	208 Ceejay House, Shivsagar Estate, Dr A Beasant Road, Worli, Mumbai, 400 018	Insurance Regulatory And Development Authority
Barclays Bank Ireland PLC	Ireland	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	One Molesworth Street, Dublin D02 RF29	Central Bank of Ireland
	Belgium	Branch of Barclays Bank Ireland PLC	Place du Champ de Mars 5, 1050 Brussels, Belgium	National Bank of Belgium (NBB)
	France	Branch of Barclays Bank Ireland PLC	32 avenue George V - 75008 Paris	Prudential Supervisory Authority (ACPR) Autorité des Marchés Financiers
	Germany (Frankfurt)	Branch of Barclays Bank Ireland PLC	Bockenheimer Landstr. 38-40, 60323 Frankfurt am Main	Federal Financial Services Supervisory Authority (BaFin) Deutsche Bundesbank
	Barclaycard Germany (Hamburg)	Branch of Barclays Bank Ireland PLC	Gasstr. 4c, 22761 Hamburg	Federal Financial Services Supervisory Authority (BaFin) Deutsche Bundesbank



Barclays Bank Ireland PLC	Italy	Branch of Barclays Bank Ireland PLC	Via della Moscova, 18 - 20121 Milano	Bank of Italy Autorità Garante Concorrenza e Mercato Commissione Nazionale per le Società e la Borsa
	Luxembourg	Branch of Barclays Bank Ireland PLC	9 Allee Scheffer L-2520 Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)
	Netherlands	Branch of Barclays Bank Ireland PLC	14th Floor C Tower World Trade Center Strawinskylaan 1453 NL-1077 XX Amsterdam	Netherlands Authority for Financial Markets
	Portugal	Branch of Barclays Bank Ireland PLC	Rua Duque de Palmela 37, 5º, 1250-097 Lisbon	Bank of Portugal Portuguese Securities Markets Commission The Portuguese Insurance Institute
	Spain	Branch of Barclays Bank Ireland PLC	Jose Abascal, 51, 28003, Madrid	Bank of Spain Servicio Español de Prevención de Blanqueo de Capitales e Infracciones Monetarias Dirección general de seguros y fondos de pensiones Comision Nacional del Mercado de Valores
	Sweden	Branch of Barclays Bank Ireland PLC	Vastra tradgardsgatan 15, 111 53 Stockolm	Swedish Financial Supervisory Authority
Barclays Funds and Advisory Japan Limited	Japan	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	10-1, Roppongi 6-chome, Minato-ku, Tokyo	Japan Financial Services Agency Japan Securities Investment Advisors Association Investment Trusts Association of Japan
Barclays Securities Japan Limited	Japan	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	10-1, Roppongi 6-chome, Minato-ku, Tokyo	Japan Financial Services Agency Bank of Japan Tokyo Metropolitan Government Kanto Local Financial Bureau Ministry of Finance Japan Investors Protection Fund Ministry of Economy, Trade and Industry
Barclays Wealth Management Jersey Limited	Jersey C.I.	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	39-41 Broad Street, St Helier, JE2 3RR	Jersey Financial Services Commission
Barclays Bank Mexico SA	Mexico	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	Paseo de la Reforma 505, 41 Floor, Torre Mayor, Col Cuauhtemoc, CP 06500	Banking And Securities National Commission (CNBV) Banco De Mexico
Barclays Capital Casa de Bolsa SA de CV	Mexico	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	Paseo de la Reforma 505, 41 Floor, Torre Mayor, Col Cuauhtemoc, CP 06500	Banking And Securities National Commission (CNBV) Banco De Mexico
Barclays Private Asset Management (Monaco) SAM	Monaco	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	31 Avenue de la Costa, BP 339	Monaco Commission for the Control of Financial Activities

Barclays Capital Futures (Singapore) Private Limited	Singapore	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	10 Marina Boulevard, #24-01 Marina Bay Financial Centre, Tower 2, 018983	Monetary Authority Of Singapore
Barclays Merchant Bank (Singapore) Limited	Singapore	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	10 Marina Boulevard, #24-01 Marina Bay Financial Centre, Tower 2, 018983	Monetary Authority Of Singapore
Barclays Bank (Suisse) SA	Switzerland	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	Chemin de Grange Canal 18-20, PO Box 3941,1211, Geneva	Swiss Financial Market Supervisory Authority
Barclays Capital Securities Limited	United Kingdom	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	1 Churchill Place, London E14 5HP	Prudential Regulation Authority Financial Conduct Authority
Clydesdale Financial Services Limited	United Kingdom	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	1 Churchill Place, London E14 5HP	Financial Conduct Authority
Barclays Private Bank	United Kingdom	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	1 Churchill Place, London E14 5HP	Financial Conduct Authority
Woolwich Plan Managers Limited	United Kingdom	Wholly Owned Subsidiary (indirectly via Barclays Bank PLC)	1 Churchill Place, London E14 5HP	Financial Conduct Authority
Barclays Bank UK PLC	United Kingdom	Wholly Owned Subsidiary	1 Churchill Place, London E14 5HP	Prudential Regulation Authority Financial Conduct Authority
Barclays Asset Management Ltd	United Kingdom	Wholly Owned Subsidiary (indirectly via Barclays Bank UK PLC)	1 Churchill Place, London E14 5HP	Financial Conduct Authority
Barclays Insurance Services Company Limited	United Kingdom	Wholly Owned Subsidiary (indirectly via Barclays Bank UK PLC)	1 Churchill Place, London E14 5HP	Financial Conduct Authority
Barclays Investment Solutions Limited	United Kingdom	Wholly Owned Subsidiary (indirectly via Barclays Bank UK PLC)	1 Churchill Place, London E14 5HP	Financial Conduct Authority