

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)).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 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 institutions, (the “Northern Trust Entities”) listed in the attachment hereto, hereby certify as follows:

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.

B. Correspondent Accounts Covered by this Certification:

This Certification applies to all accounts established for Northern Trust Entities by Covered Financial Institutions.

C. Physical Presence/Regulated Affiliate Status:

The Northern Trust Entities (with the exception of those entities marked with an asterisk (*) in the attachment) maintain a physical presence and are regulated affiliates. This means that each such Northern Trust Entity:

- Has a place of business at the street address indicated where it employs one or more individuals on a full-time basis and maintains operating records relating 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 authority identified that licensed the particular Foreign Bank to conduct banking activities.

The Northern Trust Entities marked with an asterisk (*) in the attachment are regulated affiliates which do not maintain a physical presence in the listed jurisdiction. That means that each such Northern Trust Entity:

- Is an affiliate of The Northern Trust Company which maintains a physical presence at 50 South LaSalle Street, Chicago, Illinois 60603 USA where it employs one or more persons on a full-time basis and maintains operating records related to its banking business and where it is authorized to conduct banking activities.
- Is subject to supervision by the federal banking authorities identified in the attachment that regulate The Northern Trust Company.

D. Indirect Use of Correspondent Accounts:

No Correspondent Account maintained by a Covered Financial Institution may be used to indirectly provide banking services to certain foreign banks. The Northern Trust Entities hereby certify that they do 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:

The Northern Trust Entities are indirectly wholly owned subsidiaries of Northern Trust Corporation, whose shares are publicly traded on NASDAQ.

F. Process Agent: complete the following.

The Northern Trust Company is a resident of the United States, and is authorized to accept service of legal process on behalf of the Northern Trust Entities 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 at the following address:

The Northern Trust Company
Legal Department
50 South LaSalle, M-9
Chicago, Illinois, 60603

G. General

The Northern Trust Entities hereby agree 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.

The Northern Trust Entities understand that each Covered Financial Institution at which they maintain a Correspondent Account may provide a copy of this Certification to the Secretary of the Treasury and the Attorney General of the United States. The Northern Trust Entities 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, Tara Dziengel, 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 The Northern Trust Entities.

The Northern Trust Company



Tara M. Dziengel
Senior Vice President, Global Head of AML

Executed on this 22 day of May, 2020.

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

[67 FR 60573, Sept. 26, 2002]

The Northern Trust Company – Foreign Banks as of May 2020

<u>Bank Name</u>	<u>Address</u>	<u>City</u>	<u>Country</u>	<u>Regulators</u>
The Northern Trust Company, Beijing Branch	Unit 2106B, Tower C, Yintai Center, 2Jianguomenwai Avenue, Chaoyang District, Beijing, China 100022	Beijing	China	China Banking Regulatory Commission; U.S. Federal Reserve Bank
The Northern Trust Company, Canada Branch	145 King Street W #1910, Toronto ON M5H 1J8, Canada	Toronto	Canada	Canada Office of the Superintendent of Financial Institutions; U.S. Federal Reserve Bank
*The Northern Trust Company, Cayman Branch	P.O. Box 501 Georgetown, Grand Cayman Islands British West Indies	Georgetown	Grand Cayman Islands British West Indies	Cayman Islands Monetary Authority; U.S. Federal Reserve Bank
The Northern Trust Company, London Branch	50 Bank Street, Canary Wharf, London E145NT, United Kingdom	London	United Kingdom	Prudential Regulation Authority; Financial Conduct Authority; U.S. Federal Reserve Bank
The Northern Trust Company, Melbourne Branch	Level 47 80 Collins, St. Melbourne, Victoria, Australia 3000	Melbourne	Australia	Australian Prudential Regulation Authority; U.S. Federal Reserve Bank
The Northern Trust Company, Singapore Branch	One George Street #12-06 Singapore 049145	Singapore	Singapore	Monetary Authority of Singapore; U.S. Federal Reserve Bank
The Northern Trust Company, Seoul Branch	12F East Center, Centre 1 Building, 26 Eulji-ro 5 gil, Jung-gu, Seoul, Korea 100-210	Seoul	South Korea	Financial Supervisory Service; Financial Services Commission; U.S. Federal Reserve Bank
The Northern Trust Company, Canada	145 King St W #1910, Toronto, ON M5H 1J8, Canada	Toronto	Canada	Canada Office of the Superintendent of Financial Institutions
Northern Trust (Guernsey) Limited	71 Trafalgar Court, Les Banques, St Peter Port, Guernsey, GY1 3DA	St Peter Port	Guernsey	The Guernsey Financial Services Commission; U.S. Federal Reserve Bank
Northern Trust Global Services SE	10 rue du Chateau d'Eau, L-3364 Leudelange Luxembourg	Leudelange	Luxembourg	The Financial Conduct Authority; Prudential Regulation Authority; Luxembourg Commission de Surveillance du Secteur Financier; U.S. Federal Reserve Bank

<u>Bank Name</u>	<u>Address</u>	<u>City</u>	<u>Country</u>	<u>Regulators</u>
Northern Trust Global Services SE, United Kingdom Branch	50 Bank Street, Canary Wharf, London E145NT, United Kingdom	London	United Kingdom	Prudential Regulation Authority; Financial Conduct Authority; U.S. Federal Reserve Bank
Northern Trust Global Services SE, Netherlands Branch	Claude Debussylaan 18A Viñoly, 7 th Floor 1082 MD Amsterdam, Netherlands	Amsterdam	Netherlands	Prudential Regulation Authority; Financial Conduct Authority; the Netherlands Authority for Financial Markets; U.S. Federal Reserve Bank
Northern Trust Global Services SE, Sweden Branch	Ingmar Bergmans gata 4, 1 st floor Stockholm, Sweden 11434	Stockholm	Sweden	Prudential Regulation Authority; Financial Conduct Authority; U.S. Federal Reserve Bank
Northern Trust Global Services SE, Abu Dhabi Branch	Level 7, Al Sila Tower Abu Dhabi Global Market Square Al Maryah Island, P.O. Box 114049, Abu Dhabi, United Arab Emirates	Abu Dhabi	United Arab Emirates	Financial Services Authority; Central Bank of the united Arab Emirates; U.S. Federal Reserve Bank