

**CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS  
FOR FOREIGN BANKS**

[OMB Control Number 1505-0184]

*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. 103.175(f)). 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. 103.11(o)). 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. 103.11(c)). \*

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, \_\_\_\_\_ Mellon Bank, N. A., on behalf of its foreign branches\_\_ (“**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.

\* 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.

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

**Refer to Addendum A on last page.**

- Foreign Bank maintains a **physical presence** in any country. That means:
- Foreign Bank has a place of business at the following street address:  
\_\_\_\_\_, 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 \_\_\_\_\_ (insert country), where Foreign Bank is authorized to conduct banking activities.
  - Foreign Bank is subject to inspection by \_\_\_\_\_, (insert Banking 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), 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. 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 nor 2 of Part E are 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**.

| Name   | Address  |
|--|--|
| Mellon Bank, N.A. and Mellon Financial Corporation whose shares are publicly traded. | One Mellon Center<br>Pittsburgh, PA 15258-0001 |
|  |  |
|  |  |

\* 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.

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

The following individual or entity:   Mellon Bank, N. A.   is a resident of the United States at the following street address:

Attention: Manager of Corporate Crimes 153-3300  
One Mellon Center  
Pittsburgh, Pennsylvania 15258-0001

\_\_\_\_\_, **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.



Addendum A

**Physical Presence by Branch**

| <b>Branch</b>                                 | <b>Location</b>   | <b>Country</b> | <b>Banking Authority</b>   |
|---|---|----------------|--|
| <b>Branches with a Physical Presence</b>      |   |                |  |
| Mellon Bank, N.A.,<br>London Branch           | Mellon Financial Centre<br>160 Queen Victoria Street<br>London EC4V 4LA             | United Kingdom | UK Financial Services<br>Authority (FSA)<br><br>US Federal Reserve<br>Board (FRB)<br><br>US Office of the<br>Comptroller of the<br>Currency (OCC)                                  |
| Mellon Bank, N.A.,<br>Canada Branch           | 95 Wellington Street West<br>Suite 1710, P.O. Box 16<br>Toronto, Ontario<br>M5J 2N7 | Canada         | CA Office of the<br>Superintendent of<br>Financial Institutions<br>(OSFI)<br><br>US Federal Reserve<br>Board (FRB)<br><br>US Office of the<br>Comptroller of the<br>Currency (OCC) |
|   |   |                |  |
| <b>Regulated Affiliates</b>                   |   |                |  |
| Mellon Bank N.A.,<br>Cayman Islands<br>Branch | 5901 Miami Lakes Drive<br>Miami Lakes, FL 33014                                     | United States  | US Federal Reserve<br>Board (FRB)<br><br>US Office of the<br>Comptroller of the<br>Currency (OCC)  |
|   |   |                |  |