

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 institution, **Intesa Sanpaolo S.p.A. (“Foreign Bank”)** hereby certifies 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: 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:
- Foreign Bank has a place of business at the following street address: **Group Head Office – Piazza San Carlo 156 – 10121 Torino**, 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 **Italy**, where Foreign Bank is authorized to conduct banking activities.
 - _ Foreign Bank is subject to inspection by **Bank of Italy**, 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 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 family² shall be considered one **person**.

Name	Address

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.

F. Process Agent: complete the following.

The following individual or entity: **Intesa Sanpaolo S.p.A., New York Branch** is a resident of the United States at the following street address:

One William Street – ATTN.: LEGAL DEPARTMENT - New York NY 10004, 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, **Raffaele Cosimo**, 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.

For Intesa Sanpaolo S.p.A.



Raffaele Cosimo

Group Head of Anti Financial Crime

Executed on this 18 day of January 2023.

COUNTRY	CITY	Address	E-mail	Phone - Fax	Financial Services Agency
AUSTRALIA	Sydney	Suite 2, Level 62 MLC Centre, 19 Martin Place, Sydney, NSW 2000 Australia	sydney.21644@intesasanpaolo.com	0061 2 8364 0601	ASIC: Australian Securities and Investments Commission; APRA: Australian Prudential Regulation Authority
CHINA	Hong Kong	Unit 8102-05 & 8106A, Level 81, International Commerce Centre No. 1 Austin Road West Kowloon Hong Kong	hong_kong_hub.08681@intesasanpaolo.com	00852 2532 2700 0085228450209	Hong Kong Monetary Authority HKMA
CHINA	Shanghai	UNIT 5601, LEVEL 56, SHANGHAI TOWER NO. 501 YIN CHENG MIDDLE ROAD - SHANGHAI	shanghai.08683@intesasanpaolo.com	00862120822600 00862120822630	The People's Bank of China PBC
FRANCE	Paris	"LE CENTORIAL" - 18 RUE DU 4 SEPTEMBRE - 75002 PARIS	parigi.09034@intesasanpaolo.com	0033145237222 0033148009791	Autorité de Contrôle Prudentiel et de Résolution ACPR
GERMANY	Frankfurt	Neue Mainzer Strasse 32-36 60311 Frankfurt am MainD-Germany	francoforte.00791@intesasanpaolo.com	0049 69 156810 0049 69 15681225	Bundesanstalt fuer Finanzdienstleistungsaufsicht BAFIN
JAPAN	Tokyo	HIBIYA MARINE BLDG,7F, 1-5-1, YURAKUCHO, CHIYODA-KU	tokyo.00788@intesasanpaolo.com	0081 3 3595 6300 0081335956333	Financial Services Agency FCA
POLAND	Warsaw	UL KSIAZECA 4 TOWER C CENTRUM GIELDOWE V FLOOR 00-498 WARSAW	varsavia.03706@intesasanpaolo.com	0048222655700	Generalny Inspektor Informacji Finansow ej GIIF
QATAR	Doha	Qatar Financial Centre Al Fardan Office Tower, Hayr Al Yima Street no. 814 P.O. Box 24314 Doha Qatar	doha.14336@intesasanpaolo.com	0097444967240 0097444967241	Qatar Financial Center Regulatory Authority (QFCRA)
SINGAPORE	Singapore	38 Beach Road, #32-11 South Beach Tower, Singapore 189767 Singapore	singapore.00797@intesasanpaolo.com	006563338270 006563338252	Monetary Authority of Singapore MAS
SPAIN	Madrid	PASEO DE LA CASTELLANA 31 - 28046 MADRID	madrid.00871@intesasanpaolo.com	0034913490400 0034913197722	SEPBLAC Servicio Ejecutivo de la Comision de Prevencion de Blanqueo de Capitales e Infracciones Monetarias
THE NETHERLANDS	Amsterdam	Strawinslylaan 1041 – WTC Tower C – Amsterdam 1077XX	Amsterdam.36865@intesasanpaolo.com	0031205216100	De Nederlandsche Bank
TURKEY	Istanbul	LEVENT MAH. MELTEM SK 10, IS KULELERI – KULE:2, KAT:21 34330 BESIKTAS ISTANBUL	istanbul.01595@intesasanpaolo.com	00902123850600	Banking Regulation and Supervision Agency (BDDK) Financial Crimes Investigation Board (MASAK)
UAE	Abu Dhabi	Office No. 1104-05-06, Tower 3, Etihad Towers, P.O. Box 60859 Abu Dhabi U.A.E.	abu_dhabi.14334@intesasanpaolo.com	009712 8137600 009712 6672180	Central Bank of the UAE
UAE	Dubai	Dubai International Financial Centre Gate Village 1, Building 1 Level 3, Dubai UAE PO Box 506736	dubai.09035@intesasanpaolo.com	0097143729100 0097143230990	Dubai Financial Services Authority DFSA
UNITED KINGDOM	London	QUEEN STREET, 90 EC4N 1 SA LONDON	londra.08685@intesasanpaolo.com	0044 20 7651 3000	Financial Conduct Authority FCA
USA	New York	ONE WILLIAM STREET NEW YORK	new_york_hub.08684@intesasanpaolo.com	0012126073500 0012128092124	FED Federal Reserve Bank