

**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(j) 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 **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 institutions, within The Bank of New York Mellon Corporation, foreign branches and entities listed in the attachment hereto (collectively, the “**Foreign Banks**”) hereby, certify as follows:

B. Correspondent Accounts Covered by this Certification

This Certification applies to **all** accounts established for each of the Foreign Banks by Covered Financial Institutions.

* 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:

Each of the Foreign Banks either maintains a **physical presence** or is a **regulated affiliate**. That means that each of the Foreign Banks listed in the attachment:

EITHER:

- Has a place of business at the street address set forth 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; and
- Is subject to inspection by the banking authority identified in the attachment hereto that licensed the particular Bank of New York Mellon Corporation entity to conduct banking activities;

OR:

- Does not have a physical presence in any country, but is a **regulated affiliate** of an entity within The Bank of New York Mellon Corporation, that is a depository entity that maintains a physical presence at 225 Liberty Street, 21st Floor, New York, New York, 10286, or at One Mellon Center, Pittsburgh, Pennsylvania, 15258, where The Bank of New York Mellon is authorized to conduct banking activities and where it employs one or more persons on a full-time basis and maintains operating records related to its banking activities; and
- Is subject to supervision by the New York State Banking Department, the Board of Governors of the Federal Reserve System, and/or the Office of the Comptroller of the Currency, supervisory agencies that supervise the regulated affiliates of The Bank of New York Mellon or BNY Mellon Bank, N.A., that are depository institutions of The Bank of New York Mellon Corporation, as well as by the foreign banking authority identified in the attachment hereto that licenses the regulated affiliate.

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. 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:

Each of the Foreign Banks is owned directly or indirectly by The Bank of New York Mellon Corporation, Inc., a financial holding company whose shares are publicly traded, located at 225 Liberty Street, 21st Floor, New York, New York 10286. 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)).

F. Process Agent:

The Bank of New York Mellon Corporation is a resident of the United States located at 225 Liberty Street, 21st Floor, New York, New York, 10286, Attn: Legal Division – 11th Floor, Legal Process Unit, **and** is authorized to accept service of legal process on behalf of each 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.

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I, Sandra L. DePoalo, 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 each of the Foreign Banks.



Sandra L. DePoalo
Global Head of AML Compliance
The Bank of New York Mellon Corporation

Executed on this 16th day of June, 2016.

BRANCHES WITH A PHYSICAL PRESENCE ¹

ENTITY	ADDRESS	CITY/COUNTRY	GOVERNING AUTHORITY
Amsterdam Branch of The Bank of New York Mellon SA/NV	WTC Building, Podium Office, B Tower Strawinskylaan 337 Amsterdam 1077XX The Netherlands	Amsterdam, Netherlands	De Nederlandsche Bank National Bank of Belgium European Central Bank
Australia Branch of The Bank of New York Mellon	Level 2, 1 Bligh Street Sydney NSW 2000 Australia Level 5, 350 Collins Street Melbourne, VIC 3000 Australia	Sydney & Melbourne offices, Australia	Australian Prudential Regulation Authority
Beijing Branch of The Bank of New York Mellon	Unit 727-730, 7 th Floor Winland International Finance Centre No. 7, Financial Street, Xicheng District Beijing 100033 People's Republic of China	Beijing, People's Republic of China	China Banking Regulatory Commission The People's Bank of China State Administration of Foreign Exchange
Brussels Branch of The Bank of New York Mellon	46 Rue Montoyerstraat B-1000 Brussels, Belgium	Brussels, Belgium	National Bank of Belgium European Central Bank
Dubai International Financial Centre Branch of The Bank of New York Mellon	Level 6, Gate Precinct Building 5 North Gate District, DIFC P.O. Box 506723, Dubai United Arab Emirates	Dubai, United Arab Emirates	Dubai Financial Services Authority
Frankfurt Branch of The Bank of New York Mellon SA/NV	MesseTurm Friedrich-Ebert-Anlage 49 60308 Frankfurt am Main Germany	Frankfurt, Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BAFIN) National Bank of Belgium European Central Bank
Hong Kong Branch of The Bank of New York Mellon	Level 24, Three Pacific Place, 1 Queen's Road East, Hong Kong	Hong Kong, China	Hong Kong Monetary Authority
London Branch of The Bank of New York Mellon SA/NV	One Canada Square London E14 5AL, England	London, England	Prudential Regulatory Authority Financial Conduct Authority National Bank of Belgium European Central Bank
Luxembourg Branch of The Bank of New York Mellon (International) Limited	2-4 rue Eugene Ruppert Vertigo Building – Polaris L-2453 Luxembourg	Luxembourg	Commission de Surveillance du Secteur Financier Prudential Regulatory Authority Financial Conduct Authority

¹ These entities are also subject to supervision by the Board of Governors of the Federal Reserve System, the New York State Banking Department, and/or the Office of the Comptroller of the Currency, banking supervisory agencies that supervise the depository institutions within The Bank of New York Mellon Corporation.

Milan Branch of The Bank of New York Mellon (Luxembourg) S.A.	Via Carducci 31 20123 Milan, Italy	Milan, Italy	Banca D'Italia Commission de Surveillance du Secteur Financier
Seoul Branch of The Bank of New York Mellon	29F, One IFC, 10 Gukjegeumyung-ro Yeongdeungpo-gu, Seoul, 150-945, Korea	Seoul, South Korea	Financial Supervisory Service Ministry of Strategy and Finance
Shanghai Branch of The Bank of New York Mellon	41st Floor Hang Seng Bank Tower, 1000 Lujiazui Ring Road, Pudong New Area, Shanghai 200120, People's Republic of China	Shanghai, People's Republic of China	China Banking Regulatory Commission The People's Bank of China State Administration of Foreign Exchange

BRANCHES WITH A PHYSICAL PRESENCE (continued) ¹

ENTITY	ADDRESS	CITY/COUNTRY	GOVERNING AUTHORITY
Singapore Branch of The Bank of New York Mellon	One Temasek Avenue #02-01 Millenia Tower Singapore 039192	Singapore	Monetary Authority of Singapore
Taipei Branch of The Bank of New York Mellon	245 Tun Hwa South Road Section 1, 4th Floor, P.O. Box 58040 Taipei 106, Taiwan	Taipei, Republic of China	Financial Supervisory Commission
Tokyo Branch of The Bank of New York Mellon	Marunouchi Trust Tower Main, 1-8-3 Marunouchi, Chiyoda-ku, Tokyo 100-0005 Japan	Tokyo, Japan	Financial Services Agency (Japan) Bank of Japan Ministry of Finance (Japan)
Paris Branch of The Bank of New York Mellon SA/NV	7 Rue Scribe 75009 Paris France	Paris, France	Autorite de Controle Prudential National Bank of Belgium European Central Bank
Luxembourg Branch of the Bank of New York Mellon SA/NV	2-4 rue Eugene Ruppert Vertigo Building – Polaris L-2453 Luxembourg	Luxembourg	Commission de Surveillance du Secteur Financier National Bank of Belgium European Central Bank
Frankfurt Branch of The Bank of New York Mellon	MesseTurm Friedrich-Ebert-Anlage 49 60327 Frankfurt am Main Germany	Frankfurt, Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BAFIN)
London Branch of The Bank of New York Mellon	One Canada Square London E14 5AL, England	London, England	Prudential Regulatory Authority Financial Conduct Authority
Dublin Branch of The Bank of New York Mellon SA/NV	Hanover Building, 4th Floor Windmill Lane Dublin 2 Ireland	Dublin, Ireland	Central Bank of Ireland European Central Bank

Toronto Branch of The Bank of New York Mellon	320 Bay Street, 10th Floor Toronto, Ontario M5H 4 ^o 6 Canada	Toronto, Canada	Office of Superintendent of Financial Institutions
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¹ These entities are also subject to supervision by the Board of Governors of the Federal Reserve System, the New York State Banking Department, and/or the Office of the Comptroller of the Currency, banking supervisory agencies that supervise the depository institutions within The Bank of New York Mellon Corporation.

BRANCHES WITHOUT A PHYSICAL PRESENCE (REGULATED AFFILIATES) ¹

ENTITY	ADDRESS	CITY/COUNTRY	GOVERNING AUTHORITY
Grand Cayman Branch of The Bank of New York Mellon	BNY Utica Operations Center c/o Offshore Funding Support Department 6023 Airport Road Oriskany, New York 13424 Mailing address: P.O. Box 11243 c/o Offshore Funding Support Department New York, New York 10249	Oriskany, New York USA	The Cayman Islands Monetary Authority (CIMA)

¹ These entities are also subject to supervision by the Board of Governors of the Federal Reserve System, the New York State Banking Department, and/or the Office of the Comptroller of the Currency, banking supervisory agencies that supervise the depository institutions within The Bank of New York Mellon Corporation.

SUBSIDIARIES WITH A PHYSICAL PRESENCE ²

ENTITY	ADDRESS	CITY/COUNTRY	GOVERNING AUTHORITY
BNY Trust Company of Canada	4 King Street West, Suite 1101 Toronto, Ontario, Canada M5H 1B6	Toronto, Canada	The Office of the Superintendent of Financial Institutions (Canada)
The Bank of New York Mellon Trust (Japan), Ltd.	Marunouchi Trust Tower Main, 1-8-3 Marunouchi, Chiyoda-ku, Tokyo 100-0005 Japan	Tokyo, Japan	Financial Services Agency (Japan) Bank of Japan
BNY Mellon Trust & Depositary (UK) Limited	One Canada Square London E14 5AL, England	London, England	Prudential Regulatory Authority Financial Conduct Authority
The Bank of New York Mellon (International) Limited	One Canada Square London E14 5AL, England	London, England	Prudential Regulatory Authority Financial Conduct Authority
The Bank of New York Mellon SA/NV	46 Rue Montoyerstraat B-1000 Brussels, Belgium	Brussels, Belgium	National Bank of Belgium European Central Bank
The Bank of New York Mellon (Luxembourg) S.A.	Vertigo Building – Polaris, 2-4, rue Eugène Ruppert, L-2453 Luxembourg	Luxembourg	Commission de Surveillance du Secteur Financier

SUBSIDIARIES WITHOUT A PHYSICAL PRESENCE (REGULATED AFFILIATES) ²

ENTITY	ADDRESS	CITY/COUNTRY	GOVERNING AUTHORITY
The Bank of New York Trust Company (Cayman) Limited	Butterfield House 68 Fort Street, George Town Grand Cayman, Cayman Islands	Grand Cayman, Cayman Islands	The Cayman Islands Monetary Authority (CIMA)

² These entities are also subject to supervision by the Board of Governors of the Federal Reserve System and the New York State Banking Department, banking supervisory agencies that supervise the depository institutions within The Bank of New York Mellon Corporation.