

**ICBC STANDARD BANK PLC  
GLOBAL USA PATRIOT ACT CERTIFICATION**

*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 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)). [*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 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.

**This Certification is completed by ICBC Standard Bank Plc on behalf of itself and its branches and subsidiaries.**

**A.** The undersigned financial institution, **ICBC Standard Bank Plc** (“**the Bank**”) hereby certifies as follows:

**B. Correspondent Accounts Covered by this Certification:**

This Certification applies to **all** accounts established for the Bank by Covered Financial Institutions.

**C. Physical Presence/Regulated Affiliate Status:**

The Bank maintains a **physical presence** and the Bank’s place of business is at the following street address:

**20 Gresham Street, London EC2V 7JE, United Kingdom**

where the Bank employs more than one individual on a full-time basis and maintains operating records related to its banking activities.

The above address is in the United Kingdom, where the Bank is authorized to conduct banking activities.

The Bank is subject to inspection by the **Financial Conduct Authority** and **Prudential Regulation Authority**, the banking authority that licensed the Bank to conduct banking activities.

**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 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:**

The 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 the Bank; or (b) controls in any manner the election of a majority of the directors (or individuals exercising similar functions) of the 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**. [*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.*]

<b>Name</b>	<b>Address</b>
Industrial and Commercial Bank of China Limited	No. 55 Fuxingmennei Avenue Xicheng District Beijing 100140 People's Republic of China
Standard Bank Group Limited	9 <sup>th</sup> Floor Standard Bank Centre 5 Simmonds Street Johannesburg 2001 South Africa

The Bank is 60% owned by Industrial and Commercial Bank of China Limited and 40% owned by Standard Bank London Holdings Limited (which is 100% owned by Standard Bank Group Limited).

Industrial and Commercial Bank of China Limited is listed on the Hong Kong Stock Exchange and Shanghai Stock Exchange. Standard Bank Group Limited is listed on the Johannesburg Stock Exchange.

**F. Process Agent:**

ICBC Standard Securities Inc, is a resident of the United States located at 520 Madison Avenue, 28<sup>th</sup> Floor, New York, NY 10022 **and** is authorized to accept service of legal process on behalf of the 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**

The 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.

The 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. The 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, Thea Fforde, 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 Bank.

**ICBC Standard Bank Plc**



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Nathalie Von Taaffe  
Head of Financial Crime Compliance and MLRO

Executed on this 05<sup>th</sup> day of November 2020

**Received and reviewed by:**

**Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**For:** \_\_\_\_\_  
[Name of Covered Financial Institution]

**Date** \_\_\_\_\_

**ATTACHMENT TO ICBC STANDARD BANK PLC GLOBAL USA PATRIOT ACT  
CERTIFICATION**

**BRANCHES AND SUBSIDIARIES**

**ICBC STANDARD BANK PLC, HONG KONG BRANCH**

Address: Suite 3218, Level 32, Two Pacific Place, 88 Queensway, Hong Kong

Regulator: Hong Kong Monetary Authority (“HKMA”) and Securities and Futures Commission (“SFC”)

**ICBC STANDARD BANK PLC, SINGAPORE BRANCH**

Address: 1 George Street #16-04/05/06, Singapore 049145

Regulator: Monetary Authority of Singapore (“MAS”)

**ICBC STANDARD RESOURCES (CHINA) LIMITED**

Address: Unit 705, Tower 1, Century Link, 1198 Century Avenue, Shanghai, 200122, The People’s Republic of China

Regulator: Unregulated

**ICBC STANDARD RESOURCES (AMERICA) INC.**

Address: 520 Madison Avenue, 28<sup>th</sup> Floor, New York, NY 10022, USA

Regulator: National Futures Association (“NFA”) and Commodity Futures Trading Commission (“CFTC”)

**ICBC STANDARD SECURITIES INC.**

Address: 520 Madison Avenue, 28<sup>th</sup> Floor, New York, NY 10022, USA

Regulator: Financial Industry Regulatory Authority (“FINRA”) and Securities and Exchange Commission (“SEC”)