

## Appendix A to subpart 1 of 103 - Certification regarding Correspondent Accounts for Foreign Banks

[OMB Control Number 1505-0184]

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*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 331 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 C.R.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 instructions 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 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 Europe Arab Bank plc ("**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

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(name of Covered Financial Institution(s)) for Foreign Bank.

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

- Foreign Bank maintains a **physical presence** in any country. That means:
- Foreign bank has a place of business at the following street address:  
13-15 Moorgate, London EC2R 6AD \_\_\_\_\_, 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 UK \_\_\_\_\_ (insert country), where Foreign Bank is authorized to conduct banking activities.
  - Foreign Bank is subject to inspection by FSA \_\_\_\_\_ (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 it is not a regulated affiliate.



**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, Philip Hindley (name of signatory), 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.

Europe Arab Bank plc

[Name of Foreign Bank]



[Signature]

P Hindley

[Printed Name]

Head of Compliance

[Title]

Executed on this 1 day of August 2006

**Received and reviewed by:**

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

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

For: \_\_\_\_\_

[Name of Covered Financial Institution]

Date: \_\_\_\_\_

Appendix B to subpart 1 of 103 –  
Recertification 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).*


The undersigned financial institution, Europe Arab Bank plc ("**Foreign Bank**") hereby certifies as follows:

1. Foreign Bank has executed a Certification dated 1<sup>st</sup> August, 2006 (the "**Certification**") relating to one or more Correspondent Accounts maintained by one or more Covered Financial Institutions for Foreign Bank. Terms defined in the Certification have the same meaning in this Recertification.
2. The information contained in the Certification:
  - remains true and correct.
  - is revised by the information provided with this Recertification (attach a statement describing the information that is no longer correct and stating the correct information).

Foreign Bank understands that each Covered Financial Institution at which it maintains a Correspondent Account may provide a copy of this Recertification to the Secretary of the Treasury and the Attorney General of the United States. Foreign Bank further understands that the statements contained in this Recertification 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, Philip Hindley, certify that I have read and understand this Re-certification, that the statements made in this Re-certification are complete and correct, and that I am authorized to execute this Re-certification on behalf of Foreign Bank.

Europe Arab Bank plc  
(Name of Foreign Bank)

  
\_\_\_\_\_  
(Signature)

Head of Compliance  
(Title)

Executed on this 31<sup>st</sup> (day) of July (month), 2009 (year).



