

## GLOBAL CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS

[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 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))<sup>1</sup>.

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, UBS GROUP AG, hereby certifies as follows:

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

This Certification applies to all accounts established for CREDIT SUISSE entities ("CS entities") listed in the attachment sheets.

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

CS entities maintain a physical presence and are regulated affiliates. That means that each such CS entity:

- 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 (with the limited exceptions of Credit Suisse AG, Nassau Branch, Credit Suisse Brazil (Bahamas) Limited and Credit Suisse AG, Cayman Islands Branch, holders of non-resident bank licenses);
- Is subject to inspection by the Banking Authorities identified in the attachment hereto that licensed the particular CS entity to conduct banking activities; and
- Is an affiliate of UBS Group AG which maintains a physical presence (head office) at Bahnhofstrasse 45, 8001 Zurich, Switzerland, where they employ one or more persons on a full-time basis, maintain operating records related to their banking activities, are supervised by the Swiss Financial Market Supervisory Authority FINMA, and where they are authorized to conduct banking activities;
- Is subject to supervision by the banking supervisory agencies identified in the attachment hereto.

**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 CS entities hereby certify that they do 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.

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<sup>1</sup> 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.

**E. Ownership Information:**

CS entities are owned by UBS Group AG 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<sup>2</sup> shall be considered one person.

Name	Address
UBS Group AG	Bahnhofstrasse 45, 8001 Zurich, Switzerland

**F. Process Agent:**

CT Corporation System is a resident of the United States at 28 Liberty Street, New York, NY 1005 and is authorized to accept service of legal process on behalf of CS entities 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 CS entities hereby agree to notify in writing each Covered Financial Institution at which they maintain 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 CS entities understand that each Covered Financial Institution at which it or its entities maintain 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 CS entities further understand 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, Emma Molvidson, certify that I have read and understand this Certification and that the statements made in this Certification hereto are true and correct, and that I am authorized to execute this Certification on behalf of the UBS Group AG.



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Emma Molvidson  
Global Head of Financial Crime Prevention  
UBS Group AG  
August 31, 2023

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<sup>2</sup> 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.

CS AG Entity	Street Address	City	Postal Code	Country	Banking Authority
Credit Suisse AG, Sydney Branch	Level 31 Gateway, 1 Macquarie Place	Sydney	NSW 2000	Australia	Australian Prudential Regulation Authority / Australian Securities and Investments Commission / Sydney Futures Exchange / Sydney Futures Exchange Clearing House
Credit Suisse AG, Nassau Branch	Bahamas Financial Centre, 4 <sup>th</sup> Floor, Shirley & Charlotte Streets, P.O. Box N-4928	Nassau		Bahamas	The Central Bank of the Bahamas
Credit Suisse Brazil (Bahamas) Limited	The Bahamas Financial Centre, 4 <sup>th</sup> Floor, Shirley and Charlotte Streets, P.O. Box N-3241	Nassau		Bahamas	The Central Bank of the Bahamas
Credit Suisse AG, Bahrain Branch	East Tower Level 22, Bahrain World Trade Centre	Manama		Bahrain, Kingdom of	Central Bank of Bahrain
Banco Credit Suisse (Brasil) S.A.	Rua Leopoldo Couto de Magalhães Jr., 700 - 10 <sup>o</sup> andar	São Paulo	04542-000	Brazil	Central Bank of Brazil
Banco de Investimentos Credit Suisse (Brasil) S.A.	Rua Leopoldo Couto de Magalhães Jr., 700 - 10 <sup>o</sup> andar	São Paulo	04542-000	Brazil	Central Bank of Brazil
Credit Suisse AG, Toronto Branch	One First Canadian Place, Suite 2900, P.O. Box 301	Toronto	M5X 1C9	Canada	Office of the Superintendent of Financial Institutions (OSFI)
Credit Suisse AG, Cayman Islands Branch	c/o FirstCaribbean International Bank and Trust Company (Cayman) Limited 25 Main Street, P.O. Box 694	George Town	KY1-1107	Cayman Islands	Cayman Islands Monetary Authority
Credit Suisse AG, Shanghai Branch	Shanghai International Finance Centre, 8 Century Avenue	Shanghai	200120	China (P.R.C.)	People's Bank of China / China Banking Regulatory Commission / State Administration of Foreign Exchange
Credit Suisse (Luxembourg) S.A., France Branch	86 Boulevard Haussmann, CS 40047	Paris	75008	France	Commission de Surveillance du Secteur Financier (Luxembourg) / Autorité de Contrôle Prudentiel et de Résolution (ACPR)
Credit Suisse (Deutschland) Aktiengesellschaft	Junghofstrasse 16	Frankfurt	60311	Germany	German Federal Financial Supervisory Authority (BaFin) / Central Bank of Germany

CS AG Entity	Street Address	City	Postal Code	Country	Banking Authority
Credit Suisse AG, Guernsey Branch	Helvetia Court, Les Echelons, South Esplanade, P.O. Box 435	St Peter Port	GY1 3YJ	Guernsey	Guernsey Financial Services Commission
Credit Suisse AG Hong Kong Branch	Level 88, International Commerce Centre, 1 Austin Road West	Kowloon		Hong Kong, China P.R.C.	Hong Kong Monetary Authority / Securities and Futures Commission
Credit Suisse AG Mumbai Branch	10th Floor, Ceejay House, Plot F, Shivsagar Estate, Dr. Annie Besant Road	Mumbai	400018	India	Reserve Bank of India
Credit Suisse AG, Dublin Branch	Kilmore House, Park Lane, Spencer Dock	Dublin	I	Ireland, Republic of	Central Bank of Ireland (CBI)
Credit Suisse (Luxembourg) S.A., Ireland Branch	Kilmore House, Park Lane, Spencer Dock	Dublin	I	Ireland, Republic of	Commission de Surveillance du Secteur Financier (Luxembourg) / Central Bank of Ireland (CBI)
Credit Suisse AG, Milan Branch	Via Santa Margherita No. 3	Milan	20121	Italy	Banca d'Italia / Commissione Nazionale per le Società e la Borsa (CONSOB)
Credit Suisse (Italy) S.p.A.	Via Santa Margherita No. 3	Milan	20121	Italy	Banca d'Italia / Commissione Nazionale per le Società e la Borsa (CONSOB)
Credit Suisse AG, Tokyo Branch	Izumi Garden Tower, 1-6-1 Roppongi, Minato-ku	Tokyo	106-6024	Japan	Bank of Japan / Ministry of Finance / Financial Services Agency (Japan)
Credit Suisse (Luxembourg) S.A.	5, Rue Jean Monnet	Luxembourg	2180	Luxembourg, Grand Duchy of	Commission de Surveillance du Secteur Financier
Credit Suisse AG, Luxembourg Branch	5, Rue Jean Monnet	Luxembourg	2180	Luxembourg, Grand Duchy of	Swiss Financial Market Supervisory Authority (FINMA) / Commission de Surveillance du Secteur Financier
Banco Credit Suisse (Mexico), S.A.	Torre Reforma 115, Reforma 115 Piso 26, Delegación Miguel Hidalgo	México D.F.	11000	Mexico	Bank of Mexico; Commission on Banking and Securities of Mexico (CNBV)
Credit Suisse (Luxembourg) S.A., Netherlands Branch	Honthorststraat 19	Amsterdam	1071 DC	Netherlands	Commission de Surveillance du Secteur Financier (Luxembourg) / Dutch Central Bank (De Nederlandsche Bank) (DNB) and the Netherlands Authority for the Financial Markets (Stichting Autoriteit Financiële Markten) (AFM)

CS AG Entity	Street Address	City	Postal Code	Country	Banking Authority
Credit Suisse (Luxembourg) S.A., SUCURSAL EM PORTUGAL	Avenida de Libertade 180-A8	Lisbon	1250-146	Portugal	Commission de Surveillance du Secteur Financier (Luxembourg) / Banco de Portugal
JSC "Bank Credit Suisse (Moscow)"	21, 1st Tverskaya-Yamskaya Street	Moscow	125047	Russian Federation	Central Bank of Russia / Federal Financial Markets Service of the Russian Federation
Credit Suisse AG, Riyadh Branch	Hay Al Mhamadiya, King Fahad Rd., Al Jumaiah Center	Riyadh	12361-6858	Saudi Arabia	Saudi Arabia Monetary Authority (SAMA)
Credit Suisse AG, Singapore Branch	1 Raffles Link, #03-01 One Raffles Link	Singapore	39393	Singapore	Monetary Authority of Singapore
Credit Suisse (Singapore) Limited	1 Raffles Link, #03-01 One Raffles Link	Singapore	39393	Singapore	Monetary Authority of Singapore
Credit Suisse AG, Seoul Branch	14 <sup>th</sup> Floor, Hanwha Building, 109 Sogong-ro, Jung-gu	Seoul	100-755	South Korea	Ministry of Finance and Economy / Korea Exchange; Financial Supervisory Services / Financial Supervisory Commission / Bank of Korea / Korea Federation of Bankers
Credit Suisse AG, Sucursal en España	Calle ayala 42	Madrid	28001	Spain	Madrid Stock Exchange Authority (CNMV) / Bank of Spain
Credit Suisse Bank (Europe), S.A.	Calle Ayala 42, 3°-B	Madrid,	28001	Spain	Comisión Nacional del Mercado de Valores (CNMV)
Credit Suisse International, (UK) Bank Stockholm Branch (filial)	Norrmalmstorg 12	Stockholm	111 46	Sweden	Financial Conduct Authority (FCA) / Financial Supervisory Authority (Sweden)
Credit Suisse (Switzerland) Ltd.	Paradeplatz 8	Zürich	8001	Switzerland	Swiss Financial Market Supervisory Authority (FINMA)
Credit Suisse Asset Management (Schweiz) AG	Kalandergasse 4	Zürich	8045	Switzerland	Swiss Financial Market Supervisory Authority (FINMA)

CS AG Entity	Street Address	City	Postal Code	Country	Banking Authority
Credit Suisse AG (DIFC Branch)	Dubai International Financial Centre, The Gate, 9th Floor East, P.O. Box 33660	Dubai		United Arab Emirates	DIFC Financial Services Authority (Dubai UAE)
Credit Suisse AG, London Branch	One Cabot Square	London	E14 4QJ	United Kingdom	Financial Conduct Authority (FCA)
Credit Suisse International	One Cabot Square	London	E14 4QJ	United Kingdom	Financial Conduct Authority (FCA)
Credit Suisse (UK) Limited	16 <sup>th</sup> Floor, 5 Cabot Square	London	E14 4QR	United Kingdom	Financial Conduct Authority (FCA)
Credit Suisse Securities (Europe) Limited	One Cabot Square	London	E14 4QJ	United Kingdom	Financial Conduct Authority (FCA)
Credit Suisse AG, New York Branch	Credit Suisse, New York Branch, 11 Madison Avenue	New York	10010	United States of America	Federal Reserve Bank of New York / Board of Governors of the Federal Reserve System
Credit Suisse AG, Niederlassung Frankfurt	Taunustor 1	Frankfurt	60310	Germany	German Federal Financial Supervisory Authority (BaFin)
Credit Suisse AG	Paradeplatz 8	Zürich	8001	Switzerland	Swiss Financial Market Supervisory Authority (FINMA)