

**CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR
UOB GROUP ENTITIES**

[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 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 of 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.

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.

A. The undersigned financial institution, **United Overseas Bank and its branches and subsidiaries listed in the attached Appendix 1** (“Foreign Bank”) hereby certifies as follows:

B. Correspondent Accounts Covered by this Certification:

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

C. Physical Presence/Regulated Affiliate Status:

Foreign Bank maintains a **physical presence** in any country. That means:

- Foreign Bank has a place of business at the **list of addresses set forth in Appendix 1**, where Foreign Bank employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
- The above addresses are in countries (**Please refer to Appendix 1**) where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is subject to inspection by banking authorities (**Please refer to Appendix 1**), which have licensed Foreign 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. 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 that is not a regulated affiliate.

E. Ownership Information

The Foreign Bank is directly or indirectly owned by **United Overseas Bank Limited, 80 Raffles Place, Singapore 048625** whose 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)).

F. Process Agent:

The following individual or entity: **Mr. Bert De Guzman, UOB New York Agency**, is a resident of the United States at the following street address: **UOB Building, 592 Fifth Avenue, 10th Floor, New York, NY 10036**, 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 a 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, **Lim Siew Lee**, 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 **UOB Group Entities**.



(Signature)

Lim Siew Lee

Managing Director

Group Head of AML/CFT

United Overseas Bank Limited

Executed on this **29th** day of **April, 2021**

Appendix I to US Patriot Act Certification

Country	Head Office/ Branch/ Subsidiary	Name	Address	Banking Authority
Singapore	Head Office	United Overseas Bank Limited, Singapore	80 Raffles Place UOB Plaza Singapore 048624	Monetary Authority of Singapore
Singapore	Subsidiary	Far Eastern Bank Limited <i>(As per UOB 2017 Annual Report, Far Eastern Bank Limited merged with United Overseas Bank Limited on 1 Oct 2017)</i>	80 Raffles Place UOB Plaza Singapore 048624	Monetary Authority of Singapore
Australia	Branch	United Overseas Bank Limited, Sydney	Level 9, 32 Martin Place Sydney NSW 2000	Australian Prudential Regulation Authority
Australia	Subsidiary	UOB Australia Limited	Level 9, 32 Martin Place Sydney NSW 2000	Australian Investment & Securities Commission
Brunei	Branch	United Overseas Bank Limited, Brunei Branch	Unit No. 10 & 11, Bangunan D'Amin Jaya Lot 54989, Kampong Kiarong, Bandar Seri Begawan BE1318, Negara Brunei Darussalam	Autoriti Monetari Brunei Darussalam
Canada	Branch	United Overseas Bank Limited, Vancouver Branch	Suite 2400, 650 West Georgia Street, Vancouver, British Columbia, Canada V6B 4N9	Office of the Superintendent of Financial Institutions Canada
Hong Kong	Branch	United Overseas Bank Limited, Hong Kong Branch	23 rd Floor, 3 Garden Road Central, Hong Kong S.A.R. <i>(Ceased on 24 May 2021)</i> 28 th Floor, Champion Tower, 3 Garden Road, Hong Kong S.A.R <i>(Effective on 24 May 2021)</i>	Hong Kong Monetary Authority
India	Branch	United Overseas Bank Limited, Mumbai Branch	3 North Avenue, Maker Maxity, Unit 31 , 32 & 37, 3rd Floor, Bandra Kurla Complex, Bandra East, Mumbai – 400 051, Maharashtra, India	Reserve Bank of India
Indonesia	Subsidiary	PT Bank UOB Indonesia	UOB Plaza Jalan M.H. Thamrin No.10, Jakarta 10230	1. Otoritas Jasa Keuangan/ Financial Services Authority 2. Bank Indonesia 3. Pusat Pelaporan dan Analisis Transaksi Keuangan (PPATK) / Indonesian Financial Transaction Reports and Analysis Centre (INTRAC)

Japan	Branch	United Overseas Bank Limited, Tokyo Branch	13F Sanno Park Tower 2-11-1 Nagatacho, Chiyoda-ku Tokyo 100-6113, Japan	Financial Services Agency
Malaysia	Subsidiary	United Overseas Bank (Malaysia) Bhd	Level 11, Menara UOB Jalan Raja Laut 50350 Kuala Lumpur	Bank Negara Malaysia
Malaysia	Branch	United Overseas Bank Limited, Labuan Branch	Level 6A Main Office Tower, Financial Park Labuan Complex, Jalan Merdeka, 87000 Labuan Federal Territory, Malaysia	Labuan Financial Services Authority
Myanmar	Branch	United Overseas Bank Limited, Yangon Branch	Unit #12-01/02/03, Level 12, Junction City Tower, Corner of Bogyoke Aung San Road and 27th Street, Pabedan Township, Yangon, Myanmar	Central Bank of Myanmar
People's Republic of China	Subsidiary	United Overseas Bank (China) Limited	13F, No. 116, 128 Yincheng Road, Pudong New Area, P.R.C	1. China Banking and Insurance Regulatory Commission 2. People's Bank of China 3. State Administration of Foreign Exchange
Philippines	Branch	United Overseas Bank Limited, Manila Branch	17 th Floor, Pacific Star Building, Makati Avenue corner, Gil Puyat Avenue, Makati City, Philippines 1200	Bangko Sentral ng Pilipinas
South Korea	Branch	United Overseas Bank Limited, Seoul Branch	3(A)F, Seoul Finance Center, 136, Sejong-daero, Jung-gu, Seoul 04520, Korea	Financial Supervisory Service
Taiwan	Branch	United Overseas Bank Limited, Taipei Branch	30F, Cathay Landmark, No.68, Sec.5 Zhongxiao East Road., Taipei City 110, Taiwan	1. Financial Supervisory Commission 2. Central Bank of the Republic of China (Taiwan)
Thailand	Subsidiary	United Overseas Bank (Thai) Public Company Limited	191 South Sathon Road, Bangkok 10120	Bank of Thailand
United Kingdom	Branch	United Overseas Bank Limited, London Branch	50 Cannon Street, London, EC4N 6JJ, United Kingdom	1. Financial Conduct Authority 2. Prudential Regulation Authority
United States of America	Agency	United Overseas Bank Limited, New York Agency	UOB Building, 10th Floor 592 Fifth Avenue, New York, NY 10036, USA	1. Federal Reserve Bank of New York 2. New York State Department of Financial Services
United States of America	Agency	United Overseas Bank Limited, Los Angeles Agency	777 South Figueroa Street, Suite 518, Los Angeles, California 90017, USA	1. Federal Reserve Bank of San Francisco 2. State of California Department of Financial Protection and Innovation
Vietnam	Branch	UOB Ho Chi Minh City Branch	B1 Floor, Central Plaza Building, No.17 Le Duan Street, Ben Nghe Ward, District 1, HCMC, Vietnam	State Bank of Viet Nam

Vietnam	Subsidiary	United Overseas Bank (Vietnam) Limited	Basement, Ground, Mezzanine and 15th Floors, Central Plaza Office Building, 17 Le Duan, Ben Nghe Ward, District 1, HCMC, Vietnam	State Bank of Viet Nam
---------	------------	--	--	------------------------