

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(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 **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 institution, **Bank Julius Baer & Co. Ltd. (“Foreign Bank”)**, on its behalf and on behalf of its **branches, representative offices (agencies) and affiliates listed in the appendix hereto (“Foreign Bank Affiliates”)**, hereby certifies as follows:

B. Correspondent Accounts Covered by this Certification: Check **one** box.

This Certification applies to **all** accounts established for Foreign Bank and Foreign Bank Affiliates as listed in the annex hereto by Covered Financial Institutions.

This Certification applies to Correspondent Accounts established by _____ (name of Covered Financial Institution(s)) for Foreign Bank.

* 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: 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:
Bahnhofstrasse 36, CH-8001 Zurich, where Foreign Bank employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
 - Foreign Bank maintains branches and representative offices (agencies) as listed in the appendix hereto.
 - The above address is in **Switzerland**, where Foreign Bank is authorized to conduct banking activities.
 - Foreign Bank is subject to inspection by **Swiss Financial Market Supervisory Authority FINMA**, 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 is not a regulated affiliate.

E. Ownership Information: Check box 1 or 2 below, **if applicable.**

1. **Form FR Y-7 is on file.** Foreign Bank has filed with the Federal Reserve Board a current Form FR Y-7 and has disclosed its ownership information on Item 4 of Form FR Y-7.
2. Foreign Bank's 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)).

If **neither** box 1 or 2 of Part E is checked, complete item 3 below, **if applicable.**

3. Foreign 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 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* shall be considered one **person**.

Name	Address
Julius Baer Group Ltd.	Bahnhofstrasse 36, CH-8001 Zurich, Switzerland

F. Process Agent:

The following individual or entity:

CT Corporation Systems

is a resident of the United States at the following street address:

28 Liberty St., New York, NY 10005

and is authorized to accept service of legal process on behalf of Foreign Bank and Foreign Bank Affiliates 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 by publication on its website 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 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.

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.

We, Kaspar H. Schmid and Oliver H. Basler, certify that we have read and understand this Certification, that the statements made in this Certification are complete and correct, and that we are authorized to execute this Certification on behalf of Foreign Bank.

Bank Julius Baer & Co. Ltd.



Kaspar H. Schmid

Managing Director Senior Advisor



Oliver H. Basler

Managing Director Senior Advisor

Executed on this 25th February 2019.

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

Bank Julius Baer & Co. Ltd.
Appendix to USA Patriot Act Certification

A. Certification regarding corresponding accounts for Bank Julius Baer & Co. Ltd. (“Foreign Bank”)

Foreign Bank maintains branches in **Basle** (Freie Strasse 107, Postfach, CH-4001 Basle), **Berne** (Bundesgasse 30, Postfach, CH-3001 Berne), **Crans-Montana** (Rue du Prado 4, Postfach 147, CH-3963 Crans-Montana), **Geneva** (Rue Pierre-Fatio 7, Postfach 3142, CH-1211 Geneva), **Kreuzlingen** (Hauptstrasse 18, Postfach 1043, CH 8280 Kreuzlingen) **Lausanne** (Avenue de la Gare 39, Postfach 236, CH-1001 Lausanne), **Lucerne** (Schwanenplatz 2, Postfach, CH-6002 Lucerne), **Lugano** (Piazzetta San Carlo 1, Postfach 5847, CH-6901 Lugano), **Sion** (Avenue de la Gare 31, Postfach 825, CH-1951 Sion), **St. Gallen** (Bahnhofstrasse 7, Postfach 363, CH-9000 St. Gallen), **St. Moritz** (Piazza da Scuola 4, Postfach 30, CH-7500 St. Moritz), **Verbier** (Route des Creux 7, Postfach 238, CH-1936 Verbier), **Zurich-Altstetten** (Hohlstrasse 604, CH-8004 Zurich), and **Zug** (Bundesplatz 9, Postfach 7422, CH-6304 Zug), where it also employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.

Foreign Bank maintains as well a branch in **Guernsey** at the following address: Lefebvre Court, Lefebvre Street, St. Peter Port, GB-Guernsey GY1 4BS, where it also employs one or more individuals on a full-time basis and maintains operating records related to its Guernsey banking activities. Foreign Bank's Guernsey branch is in **Guernsey** subject to inspection by **Guernsey Financial Services Commission (GFSC)**, the banking authority that licensed Foreign Bank to conduct banking activities in Guernsey

Foreign Bank maintains as well a branch in **Hong Kong** (39th floor, One International Finance Centre, 1 Harbour View Street, Central, Hong Kong, Republic of China), where it also employs one or more individuals on a full-time basis and maintains operating records related to its Hong Kong banking activities. Foreign Bank's Hong Kong branch is in **Hong Kong** subject to inspection by the **Hong Kong Monetary Authority (HKMA)**, the banking authority that licensed Foreign Bank to conduct banking activities in Hong Kong.

Foreign Bank maintains as well a branch in **Singapore** at the following address: 7 Straits View, #28-01, Marina One East Tower, Singapore 018936, where it also employs one or more individuals on a full-time basis and maintains operating records related to its Singapore banking activities. Foreign Bank's Singapore branch is in **Singapore** subject to inspection by **Monetary Authority of Singapore (MAS)**, the banking authority that licensed Foreign Bank to conduct banking activities in Singapore.

Foreign Bank maintains as well representative offices at the following addresses: **Abu Dhabi** (Al Bateen Office Tower C1, Level 8, King Abdullah bin Abdulaziz Al Saud Street, Al Bateen Area, P.O. Box 111182, Abu Dhabi, United Arab Emirates), **Istanbul** (Maçka Cad., Vehbi Bey Apt.No.22/7, Tesvikiye 34367 Istanbul, Turkey), **Moscow** (Brusov pereulok 19, 125009 Moscow, Russian Federation), **Panama** (MMG Tower, Piso 18, Ave. Paseo del Mar, Coste del Este, Ciudad de Panama, Panama), **Santiago de Chile** (Mariano Sanchez Fontecilla 310, Piso 10, Las Condes, 7550296 Santiago de Chile, Chile), **Shanghai** (Unit 1503 ,15th Floor, Azia Center, NO. 1233 Lujiazui Ring Road, Pudong, Shanghai 200120, Republic of China), **Tel Aviv** (46 Rothschild Blvd., 6688312 Tel Aviv, Israel); where it also employs one or more individuals on a full-time basis and maintains operating records related to its activities.

Foreign Bank's representative offices are subject to inspection by the following banking authorities that licensed Foreign Bank's representative offices: **Abu Dhabi**, Central Bank of the United Arab Emirates; **Istanbul**, Banking Regulation and Supervision Agency (BRSA); **Moscow**, Central Bank of the Russian Federation; **Panama**, Superintendencia de Bancos de la República de Panamá; **Santiago de Chile**, La Superintendencia de Bancos e Instituciones Financieras Chile (SBIF); **Shanghai**, China Banking Regulatory Commission; **Tel Aviv**, Bank of Israel.

B. Certification regarding corresponding accounts for Julius Baer affiliates

Bank Julius Bär Deutschland AG has a place of business at the following street address: An der Welle 1, Postfach 15 02 52, 60062 **Frankfurt am Main**, Germany, where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities. Bank Julius Bär Europe AG is subject to inspection by the **Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)**, the banking authority that Bank Julius Bär Europe AG to conduct banking activities.

Bank Julius Bär Deutschland AG maintains branches in **Berlin** (Kurfürstendamm 195, 10707 Berlin, Germany), **Düsseldorf** (Kasernenstrasse 40, Postfach 10 14 65, 40005 Düsseldorf, Germany), **Hamburg** (Neuer Wall 80, Postfach 11 31 55, 20431 Hamburg, Germany), **Hannover** (Georgstrasse 44, 30159 Hannover, Germany), **Mannheim** (P5,7, Postfach 100362, 68003 Mannheim, Germany), **Munich** (Brienner Strasse 1 Postfach 100352, 80077 München, Germany), and **Stuttgart** (Königstrasse 43b, Postfach 10 04 64, 70003 Stuttgart, Germany), where it also employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.

Bank Julius Bär Deutschland AG maintains as well representative offices (“Geschäftsstellen”) at the following addresses: **Kiel** (Schwedenkai 1, Postfach 14 07, 24013 Kiel, Germany) and **Würzburg** (Domstrasse 2, Postfach 11 01 52, 97028 Würzburg, Germany), where it also employs one or more individuals on a full-time basis and maintains operating records related to its activities.

Julius Baer Bank (Bahamas) Limited has a place of business at the following street address: Ocean Centre, East Bay Street, P.O. Box, N-4890 **Nassau**, Bahamas, where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities. Julius Baer Bank (Bahamas) Limited is subject to inspection by the **Central Bank of the Bahamas**, the banking authority that licensed Julius Baer Bank (Bahamas) Limited to conduct banking activities.

Bank Julius Baer (Monaco) S.A.M. has a place of business at the following street address: 12 Boulevard des Moulins/ 13 Avenue de Grande Bretagne, 98000 Monaco, where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities. Bank Julius Baer (Monaco) S.A.M. is subject to inspection by the **Autorité de Contrôle Prudentiel et de Résolution (ACPR)**, the banking authority that licensed Bank Julius Baer (Monaco) S.A.M. to conduct banking activities.

Bank Julius Baer Europe S.A. has a place of business at the following street address: 25, rue Edward Steichen, 2540 Luxembourg, Grand Duchy of Luxembourg, where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities. Bank Julius Baer Luxembourg S.A. is holder of a banking license and subject to inspection by the **Commission de Surveillance du Secteur Financier (CSSF)**, the Luxembourg banking supervisory authority.

Bank Julius Baer Europe S.A. maintains as well a branch in **Ireland** (Ground Floor; 2 Hume Street, D02 FT82 Dublin 2) where it also employs one or more individuals on a full-time basis and maintains operating records related to its Luxembourg banking activities. Foreign Bank’s Ireland Branch is in Ireland subject to inspection by the **Central Bank of Ireland (CBI)**, the banking authority that licensed Foreign Bank to conduct banking activities in Ireland.