

# UBS GLOBAL CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR UBS ENTITIES

**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, the UBS entities listed in the attachment hereto (the "**UBS entities**"), hereby certify as follows:

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

This Certification applies to all accounts established for the UBS entities by Covered Financial Institutions.

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

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

- 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 exception of UBS (Bahamas) Ltd, holder of a non-resident bank license);
- Is subject to inspection by the Banking Authorities identified in the attachment hereto that licensed the particular UBS entity to conduct banking activities; and
- Is an affiliate of UBS AG, which maintains a physical presence at Bahnhofstrasse 45, 8001 Zürich, 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

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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.

banking services to certain foreign banks. The UBS 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.

**E. Ownership Information:**

The UBS entities are owned, directly or indirectly, by UBS Group AG, Bahnhofstrasse 45, 8001 Zürich, Switzerland, 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 Act of 1934 (15 U.S.C. 78c(a)(50)).

**F. Process Agent:**

UBS AG, Stamford Branch is a resident of the United States at Legal Department, 600 Washington Boulevard, Stamford CT 06901 and is authorized to accept service of legal process on behalf of the UBS entities that have a Correspondent Account with a Covered Financial Institution 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.

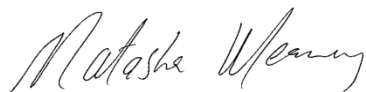
**G. General**

The UBS 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 UBS entities understand that each Covered Financial Institution at which they 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 UBS 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, Natasha Meaney, 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 entities.



Natasha Meaney  
Group Head of Financial Crime Prevention  
UBS AG

07.02.2023

Country of Domicile	Registered Name	Primary Business Division	Address	Regulator
Australia	UBS AG Australia Branch	Investment Bank	Level 16, Chifley Tower, 2 Chifley Square, NSW 2000, Sydney	Australian Prudential Regulation Authority (APRA) Australian Securities & Investments Commission (ASIC)
Bahamas	UBS (Bahamas) Ltd (in voluntary liquidation)	Global Wealth Management	UBS House, East Bay Street, Nassau	Central Bank of the Bahamas Ministry of Finance (Bahamas) Securities Commission of The Bahamas
Brazil	UBS Brasil Banco de Investimento S.A.	Investment Bank	Avenida Brigadeiro Faria Lima, 4.440, 9th floor, 04538-132, Sao Paulo	Banco Central do Brasil
Canada	UBS Bank (Canada)	Global Wealth Management	154 University Avenue, ONT M5H 3Z4, Toronto	Canada Deposit Insurance Corporation Office of the Superintendent of Financial Institutions Canada (OSFI)
Cayman Islands	UBS AG Cayman Island Branch	Corporate Center	Cayman Corporate Centre, 27 Hospital Road, PO Box 2325, KY1-1106, Grand Cayman	Cayman Islands Monetary Authority
China	UBS (China) Limited	Global Wealth Management	Rooms1220B-30 Winland International Finance Center, No.7 Finance Street, Xicheng District, 100033, Beijing	China Banking and Insurance Regulatory Commission (CBIRC) China Securities Regulatory Commission
France	UBS (France) S.A.	Global Wealth Management	69 Boulevard Haussmann, 75008, Paris	Autorité de Contrôle Prudentiel et de Résolution (ACPR) Autorité des Marchés Financiers (AMF) Comité de la Réglementation Bancaire et Financière (CRBF)
Germany	UBS Europe SE	Global Wealth Management	Bockenheimer Landstrasse 2-4, Operturm, 60306, Frankfurt am Main	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin) Deutsche Bundesbank
Hong Kong	UBS AG Hong Kong Branch	Investment Bank	52 Floor Two International Finance Centre, 8 Finance Street, Central, Hong Kong	Hong Kong Monetary Authority Securities and Futures Commission (Hong Kong)
Hong Kong	UBS Securities Hong Kong Limited	Investment Bank	52/F Two International Finance Centre, 8 Finance Street, Central, Hong Kong	Hong Kong Stock Exchange Securities and Futures Commission (Hong Kong)
Italy	UBS Europe SE, Succursale Italia	Global Wealth Management	via del Vecchio Politecnico, n. 3, Milano	Banca d'Italia Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin) Commissione Nazionale per le Società e la Borsa (CONSOB) Milano Deutsche Bundesbank

Country of Domicile	Registered Name	Primary Business Division	Address	Regulator
Japan	UBS AG Tokyo Branch	Investment Bank	2-1, Otemachi 1-chome, Chiyoda-ku, 100-0004, Tokyo	Bank of Japan (BOJ) Financial Services Agency (FSA) Japan Securities Dealers Association (JSDA) Ministry of Finance (Japan) The Financial Futures Association of Japan (FFA)
Luxembourg	UBS Europe SE Luxembourg Branch	Global Wealth Management	33A avenue J.F. Kennedy, 1855, Luxembourg	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin) Commission de Surveillance du Secteur Financier (CSSF) Deutsche Bundesbank
Jersey	UBS AG Jersey Branch	Global Wealth Management	1 IFC, IFC Jersey, JE2 3BX, St. Helier	Jersey Financial Services Commission
Mexico	UBS Casa de Bolsa, S.A. de C.V.	Investment Bank	Pedregal 24, Piso 11, Torres Virreyes, Col Molino del Rey, 11040, Mexico	Banco de México Comisión Nacional Bancaria y de Valores (CNBV) Comisión Nacional para la Protección y Defensa de los Usuarios de Servicios Financieros (CONDUSEF) Secretaría de Hacienda y Crédito Público (SHCP)
Monaco	UBS (Monaco) S.A.	Global Wealth Management	2 Avenue de Grande-Bretagne, 98000, Monte Carlo	Autorité de Contrôle Prudentiel et de Résolution (ACPR) Commission de Contrôle des Activités Financières (CCAF)
Russia	OOO UBS Bank	Investment Bank	2/2 Paveletskaya Ploshchad, Moskau 115054	Central Bank of Russia
Singapore	UBS AG Singapore Branch	Investment Bank	9 Penang Road, 238459, Singapore	Monetary Authority of Singapore (MAS) Singapore Exchange Derivatives Clearing Limited (SGX-DC) Singapore Exchange Derivatives Trading Limited (SGX-DT)
Singapore	UBS Principal Capital Asia Ltd.	Investment Bank	9 Penang Road, 238459, Singapore	Monetary Authority of Singapore (MAS) Securities and Exchanges Board of India (SEBI) Taiwan Stock Exchange Corporation (TSEC)
Spain	UBS Europe SE, sucursal en España	Global Wealth Management	Calle María de Molina 4, 28006, Madrid	Banco de España Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin) Comisión Nacional del Mercado de Valores (CNMV) Deutsche Bundesbank
Sweden	UBS Europe SE, Sweden Bankfilial	Global Wealth Management	Regeringsgatan 38, 11187, Stockholm	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin) Deutsche Bundesbank Swedish Financial Supervisory Authority (FSA)

Country of Domicile	Registered Name	Primary Business Division	Address	Regulator
Switzerland	UBS AG	Corporate Center	Aeschenvorstadt 1, 4051, Basel Bahnhofstrasse 45, 8001, Zürich	Bank of England China Securities Regulatory Commission Commodity Futures Trading Commission (CFTC) Federal Deposit Insurance Corporation (FDIC) Federal Reserve Board Financial Conduct Authority (FCA) Financial Services Board (FSB) Hong Kong Monetary Authority Israel Securities Authority (ISA) Monetary Authority of Singapore (MAS) Office of the Comptroller of the Currency (OCC) Prudential Regulation Authority (PRA) Swiss Financial Market Supervisory Authority (FINMA) Swiss National Bank
Switzerland	UBS Switzerland AG	Personal & Corporate	Bahnhofstrasse 45, 8001, Zürich	Swiss Financial Market Supervisory Authority (FINMA)
Taiwan	UBS AG Taipei Branch	Investment Bank	Cathay Financial Centre, 1/F (BZ area), 5/F, 13/F, 21/F, 22/F, 23/F, No 7, 1/F No9, Sung Jen Road, 110, Taipei	Financial Supervisory Commission of Taiwan
United Kingdom	UBS AG London Branch	Investment Bank	5 Broadgate, EC2M 2QS, London	Financial Conduct Authority (FCA) Prudential Regulation Authority (PRA) Swiss Financial Market Supervisory Authority (FINMA)
Uruguay	UBS Financial Services (Uruguay) SRL	Global Wealth Management	Guyer & Regules Pza. Independencia 811, Montevideo 11100	Banco Central de Uruguay (BCU) Financial Industry Regulatory Authority (FINRA US) Securities and Exchanges Commission (SEC US)