

## **Barclays USA PATRIOT ACT Certificate**

Pursuant to the USA Patriot Act and final rules issued by the U.S. Department of the Treasury, a U.S. bank or a U.S. broker-dealer in securities (a "Covered Financial Institution") is required to obtain certain information from any "Foreign Bank" that maintains a correspondent account with it.

As permitted by the final rules, the Barclays Group has prepared a Global Certificate for use by any financial institution that believes it requires a USA PATRIOT ACT Certificate from a Barclays entity, for example, an overseas branch of Barclays Bank PLC.

Please use this certificate in preference to requesting individual Barclays businesses to complete a separate certificate. If the particular Barclays business that maintains a correspondent account with your institution is not listed in our certificate, or if you have any questions with regard to this Certificate, please advise us by e-mailing Barclays.

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 State 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)).<sup>1</sup>

<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.

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 State 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 institution, Barclays PLC and its foreign branches and entities listed the attachment hereto (collectively, the **"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 \_\_\_\_\_ (name of Covered Financial Institution(s)) for Foreign Bank.

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

- Foreign Banks maintains a **physical presence** in any country. That means:
- Each of the Foreign Banks has a place of business at the following street address set out 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.
  - The address is in the country where the particular Foreign Bank is authorised to conduct banking activities.
  - The particular Foreign Bank is subject to inspection by the banking authority that licenses the particular Foreign bank to conduct banking activities as set out in the attachment hereto.
- 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. Each of the Foreign Banks

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)).

In the case of Barclays Bank PLC and all branches thereof, Barclays PLC (Whose registered address is 1 Churchill place, London, E14 5HP, United Kingdom) is the sole shareholder.

In the case of Barclays Bank UK PLC and all branches thereof, Barclays PLC (Whose registered address is 1 Churchill place, London, E14 5HP, United Kingdom) is the sole shareholder.

In the case of the entities listed in the section headed "wholly owned subsidiaries" in the attachment hereto, Barclays PLC (whose address is 1 Churchill Place, London, E14 5HP, United Kingdom) is the ultimate shareholder.

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

3. Each of the Foreign Banks 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<sup>2</sup> shall be considered one **person**.

**F. Process Agent:** complete the following.

The following individual or entity: Barclays Bank PLC, New York Branch is a resident of the United States at the following street address:

745 7<sup>th</sup> Avenue, New York, NY 10019 USA, 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**

Each of the Foreign Banks 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.

Each of the Foreign Banks 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. Each of the Foreign Banks 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, Richard Ahern, Head of Financial Crime Compliance for Barclays Bank PLC, certify that I have read and understand this Certification and that the statements made in this Certification are true and correct.

This certification is made on behalf of Barclays PLC, a banking institution organised under the laws of the United Kingdom.

*Richard Ahern Head of Financial Crime BB Plc*

Executed on this 23<sup>rd</sup> Day of 01<sup>st</sup> Month 2024 Year.

**Received and reviewed by:**

Name:

Title:

For:

Date:

**Branches**

| Name              | Country              | Type   | Address  | Current Regulators  |
|-------------------|----------------------|--------|--|---|
| Barclays Bank PLC | United Arab Emirates | Branch | Level 6, Building 10, The Gate Village, PO Box 506674 Dubai UAE.                         | Dubai Financial Services Authority<br>Central Bank Of The UAE   |
| Barclays Bank PLC | Canada               | Branch | 333 Bay Street, Suite 4910, Box 9, Toronto, Ontario                                      | Office of the Superintendent of Financial Institutions (OSFI)<br>Canada Deposit Insurance Corporation<br>Alberta Securities Commission<br>Autorite des Marches Financiers (Quebec)<br>British Columbia Securities Commission<br>Ontario Securities Commission |
| Barclays Bank PLC | Switzerland          | Branch | 18-20 Chemin de Grange- Canal, 1224 Chêne- Bougeries                                     | Swiss Financial Market Supervisory Authority FINMA  |
| Barclays Bank PLC | China                | Branch | Suite 3101, 3102B, Azia Centre, 1233 Lujiazui Ring Road, Pudong, Shanghai 200120         | China Banking and Insurance Regulatory Commission   |
| Barclays Bank PLC | France               | Branch | 34/36 Avenue de Friedland  | Autorité de contrôle prudentiel et de résolution (ACPR)   |
| Barclays Bank PLC | Guernsey C.I.        | Branch | St Julian's Court, St Julian's Avenue, St Peter Port, Guernsey, Channel Islands, GY1 1WA | Guernsey Financial Services Commission  |
| Barclays Bank PLC | Hong Kong            | Branch | L41, Cheung Kong Center, 2 Queen's Road Central, Central, Hong Kong                      | Hong Kong Monetary Authority<br>Securities and Futures Commission<br>China Securities Regulatory Commission (CSRC)<br>People's Bank of China (PBOC)<br>Financial Supervisory Service (FSS)<br>Securities and Exchange Board of India (SEBI)                   |
| Barclays Bank PLC | Israel               | Branch | 21 Ha'arba'aa St., (22nd floor), Tel Aviv 64739  | Bank Of Israel  |
| Barclays Bank PLC | Isle of Man          | Branch | Barclays House, Victoria Street, Douglas, Isle of Man                                    | Isle Of Man Financial Services Authority  |

| Name              | Country              | Type   | Address  | Current Regulators  |
|-------------------|----------------------|--------|--|---|
| Barclays Bank PLC | India                | Branch | Ceejay House, Shivsagar Estate, Dr. A.Besant Road, Worli, Mumbai 400018                | Reserve Bank Of India<br>Securities and Exchange Board of India (SEBI)<br>International Financial Services Centres Authority<br>Banking Codes and Standards Board of India<br>The Ministry of Commerce & Industry, Office of the Development Commissioner, GIFT-SEZ |
| Barclays Bank PLC | Jersey C.I.          | Branch | 13 Library Place, St Helier, Jersey JE4 8NE  | Jersey Financial Services Commission  |
| Barclays Bank PLC | Japan                | Branch | 31F Roppongi Hills Mori Tower, 6-10-1, Roppongi, Minato-ku, Tokyo 106-6131             | Japan Financial Services Agency<br>Financial Futures Association of Japan<br>Japan Securities Dealers Association   |
| Barclays Bank PLC | Cayman Islands (The) | Branch | CIBC FirstCaribbean House,25 Main StreetP.O. Box 694Grand Cayman KY1-1107              | Cayman Islands Monetary Authority   |
| Barclays Bank PLC | Monaco               | Branch | 31 Avenue de la Costa, Costa, Monte Carlo  | Monaco Commission for the Control of Financial Activities<br>Monaco Direction du Budget et du Trésor ('DBT')<br>Direction du Budget<br>Autorité de contrôle prudentiel et de résolution (ACPR)  |
| Barclays Bank PLC | Qatar                | Branch | 7th Floor, Office No. 741 The Gate Mall, Tower 2 Maysaloun Street, West Bay Doha Qatar | Qatar Financial Centre Regulatory Authority   |
| Barclays Bank PLC | Singapore            | Branch | 10 Marina Boulevard, 24-01 Marina Bay Financial Centre, Tower 2, Singapore 018983      | Monetary Authority Of Singapore   |
| Barclays Bank PLC | Australia            | Branch | Level 37 Chifley Tower, Unit 32 Chifley Square, Sydney, NSW 2000, Australia            | Australian Prudential Regulation Authority (APRA)   |

| Name                      | Country             | Type              | Address   | Current Regulators  |
|---------------------------|---------------------|-------------------|---|---|
| Barclays Bank Ireland PLC | Belgium             | Passported Branch | Place du Camp de Mars 5,<br>1050 Bruxelles,<br>Belgique               | National Bank of Belgium<br>Financial Services and Markets Authority    |
| Barclays Bank Ireland PLC | Germany (Frankfurt) | Passported Branch | TaunusTurm, Taunustor 1, 60310 Frankfurt am Main                      | Federal Financial Supervisory Authority (BaFin)<br>Bundesbank           |
| Barclays Bank Ireland PLC | Germany (Hamburg)   | Passported Branch | Gasstraße 4c 22761, Hamburg   | Federal Financial Supervisory Authority (BaFin)<br>Bundesbank           |
| Barclays Bank Ireland PLC | Spain               | Passported Branch | Calle Jose Abascal, 51, 28003 Madrid, Spain                           | Bank of Spain<br>Comisión Nacional del Mercado de Valores               |
| Barclays Bank Ireland PLC | France              | Passported Branch | 34/36 Avenue de Friedland   | Autorité de contrôle prudentiel et de résolution (ACPR)                 |
| Barclays Bank Ireland PLC | Italy               | Passported Branch | Via Broletto 4- 20121 Milano  | Bank of Italy   |
| Barclays Bank Ireland PLC | Luxembourg          | Passported Branch | 9 allée Scheffer, L-2520 Luxembourg, Grand-Duché de Luxembourg        | Commission de Surveillance du Secteur Financier (CSSF)                  |
| Barclays Bank Ireland PLC | Netherlands         | Passported Branch | 2nd floor, SOM1, Gustav Mahlerlaan 36, 1082 MC Amsterdam, Netherlands | The Netherlands Bank<br>Netherlands Authority for the Financial Markets |
| Barclays Bank Ireland PLC | Portugal            | Passported Branch | Rua Duque de Palmela 37 - 5º<br>1250-097, Lisbon<br>Portugal          | Bank of Portugal<br>Portuguese Securities Markets Commission (CMVM)     |
| Barclays Bank Ireland PLC | Sweden              | Passported Branch | Katthavet, Kungsträdgårdsgatan 10<br>111 47 Stockholm, Sweden         | Swedish Financial Supervisory Authority                                 |

## **Wholly Owned Subsidiaries**

Barclays PLC (whose address is 1 Churchill Place, London, E14 5HP, United Kingdom) is the sole ultimate shareholder of the following:

| Name   | Country  | Type       | Address   | Current Regulators  |
|--|--|------------|---|---|
| Barclays Bank PLC                              | United Kingdom   | Subsidiary | 1 Churchill Place, London, E14 5HP, United Kingdom                      | Prudential Regulation Authority<br>Financial Conduct Authority  |
| Barclays Bank UK PLC                           | United Kingdom   | Subsidiary | 1 Churchill Place, London E14 5HP                                       | Prudential Regulation Authority<br>Financial Conduct Authority  |
| Barclays Securities Japan Limited              | Japan  | Subsidiary | 10-1, Roppongi 6-chome, Minato-ku, Tokyo, Japan                         | Japan Financial Services Agency<br>Bank of Japan<br>Tokyo Metropolitan Government<br>Kanto Local Finance Bureau<br>Ministry of Finance<br>Japan Investor Protection Fund<br>Ministry of Economy, Trade and Industry<br>Japan Securities Dealers Association |
| Barclays Insurance Guernsey PCC Limited        | Guernsey C.I.  | Subsidiary | PO Box 33, Dorey Court , Admiral Park, St Peter Port, GY1 4AT, Guernsey | Guernsey Financial Services Commission  |
| Barclays Investment Solutions Limited          | United Kingdom of Great Britain & Northern Ireland (The) | Subsidiary | 1 Churchill Place, London, E14 5HP, England                             | Financial Conduct Authority   |
| Barclays Private Asset Management (Monaco) SAM | Monaco   | Subsidiary | 31 Avenue de la Costa, Monte Carlo, BP 339, Monaco                      | Monaco Commission for the Control of Financial Activities   |
| Barclays Wealth Management Jersey Limited      | Jersey C.I.  | Subsidiary | 5 Esplanade,, St. Helier, JE2 3QA, Jersey                               | Jersey Financial Services Commission  |
| Barclays Capital Securities Limited            | United Kingdom of Great Britain & Northern Ireland (The) | Subsidiary | 1 Churchill Place, London, E14 5HP, England                             | Prudential Regulation Authority<br>Financial Conduct Authority  |

| Name                                       | Country     | Type       | Address   | Current Regulators   |
|--|-------------|------------|---|--|
| Barclays Bank (Suisse) SA                  | Switzerland | Subsidiary | Chemin de Grange Canal 18-20, PO Box 3941, 1211, Geneva, Switzerland                          | Swiss Financial Market Supervisory Authority   |
| Barclays Capital Asia Limited              | Hong Kong   | Subsidiary | Level 41, Cheung Kong Center, 2 Queen's Road, Central, Hong Kong                              | Securities and Futures Commission  |
| Barclays Merchant Bank (Singapore) Limited | Singapore   | Subsidiary | 10 Marina Boulevard, #25-01 Marina Bay Financial Centre Tower 2, Singapore, 018983, Singapore | Monetary Authority Of Singapore<br>Securities And Exchange Board Of India (SEBI)   |
| Barclays Capital Canada Inc                | Canada      | Subsidiary | 333 Bay Street, Suite 4910, Toronto ON M5H 2R2, Canada  | Investment Industry Regulatory Organization of Canada (IIROC)<br>Alberta Securities Commission<br>Autorite des Marches Financiers (Quebec)<br>British Columbia Securities Commission<br>Manitoba Securities Commission<br>Ontario Securities Commission<br>Canada Deposit Insurance Corporation<br>Financial and Consumer Affairs Authority of Saskatchewan<br>Financial and Consumer Services Commission of New Brunswick<br>Newfoundland & Labrador – Office of the Superintendent of Securities Service<br>Northwest Territories – Department of Justice<br>Northwest Territories – Office of the Superintendent of Securities<br>Nova Scotia Securities Commission<br>Nunavut – Department of Justice<br>Nunavut - Securities Office<br>Office of the Yukon Superintendent of Securities<br>Prince Edward island - Office of the Attorney General<br>Prince Edward island - Office of the Superintendent of Securities |

| Name   | Country  | Type       | Address   | Current Regulators  |
|--|--|------------|---|---|
| Barclays Bank Ireland PLC                            | Ireland  | Subsidiary | One Molesworth Street, Dublin, D02 RF29, Ireland  | Central Bank of Ireland   |
| Barclaycard International Payments Limited           | Ireland  | Subsidiary | One Molesworth Street, Dublin, D02 RF29, Ireland  | Central Bank of Ireland   |
| Barclays Bank Mexico SA                              | Mexico   | Subsidiary | Avenida Paseo de la Reforma 505, 41 Floor, Torre Mayor, Col. Cuauhtémoc, CP 065 00, Mexico                      | Banking And Securities National Commission (CNBV)<br>Banco De Mexico<br>Secretaría de Hacienda y Crédito Público de México<br>(Ministry of Finance and Public Credit) |
| Barclays Capital Casa DE Bolsa SA DE CV              | Mexico   | Subsidiary | Paseo de la Reforma 505, 41 Floor, Torre Mayor, Col. Cuauhtémoc, CP 06500, Mexico                               | Banking And Securities National Commission (CNBV)<br>Banco De Mexico<br>Secretaría de Hacienda y Crédito Público de México<br>(Ministry of Finance and Public Credit) |
| Barclays Securities (India) Private Limited          | India  | Subsidiary | 208 Ceejay House, Shivsagar Estate, Dr A Beasant Road, Worli, Mumbai, 400 018, India                            | Securities And Exchange Board Of India (SEBI)<br>Association Of Mutual Funds In India<br>National Securities Depository Limited                                       |
| Barclays Investments & Loans (India) Private Limited | India  | Subsidiary | Nirlon Knowledge Park, Level 9, Block B-6, Off Western Express Highway, Goregaon (East), Mumbai , 400063, India | Reserve Bank of India<br>Association Of Mutual Funds In India<br>BSE Limited<br>National Stock Exchange of India Limited  |
| Barclays Funds & Advisory Japan Limited              | Japan  | Subsidiary | 10-1, Roppongi 6-chome, Minato-ku, Tokyo, Japan   | Japan Financial Services Agency<br>Japan Investment Advisers Association<br>Investment Trusts Association of Japan  |
| Barclays Asset Management Limited                    | United Kingdom of Great Britain & Northern Ireland (The) | Subsidiary | 1 Churchill Place, London, E14 5HP, England   | Financial Conduct Authority   |

| Name   | Country  | Type       | Address  | Current Regulators  |
|--|--|------------|--|---|
| Barclays Wealth Trustees (India) Private Limited | India  | Subsidiary | 208 Ceejay House, Shivsagar Estate, Dr A Beasant Road, Worli, Mumbai, 400 018, India | Insurance Regulatory and Development Authority of India                         |
| Oak Pension Asset Management Limited             | United Kingdom of Great Britain & Northern Ireland (The) | Subsidiary | 1 Churchill Place, London, E14 5HP, England  | Financial Conduct Authority   |
| Barclays Securities Taiwan Limited               | Taiwan   | Subsidiary | 19F-1, No. 7, Xinyi Road, Sec. 5, Taipei, 11049, Taiwan (Province of China)          | Securities and Futures Bureau<br>Central Bank of the Republic of China (Taiwan) |
| Barclays Ukrf Icc Limited                        | Guernsey C.I.  | Subsidiary | P.O. Box 33, Dorey Court, Admiral Park, St Peter Port, GY1 4AT, Guernsey             | Guernsey Financial Services Commission  |
| Barclays Ukrf No 1 Ic Limited                    | Guernsey C.I.  | Subsidiary | P.O. Box 33, Dorey Court, Admiral Park, St Peter Port, GY1 4AT, Guernsey             | Guernsey Financial Services Commission  |
| Barclays Ukrf No 2 Ic Limited                    | Guernsey C.I.  | Subsidiary | Dorey Court, Admiral Park, St Peter Port, GY1 4AT, Guernsey                          | Guernsey Financial Services Commission  |
| Barclays OCIO Services Ltd                       | United Kingdom of Great Britain & Northern Ireland (The) | Subsidiary | 1 Churchill Place, London, E14 5HP, England  | Financial Conduct Authority   |