

CERTIFICATION REGARDING CORRESPONDENT  
ACCOUNTS FOR MUFG Bank

[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>

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, **MUFG Bank, Ltd. and its overseas branches and offices listed in the attachment hereto** (collectively, “**MUFG Bank**”) hereby certifies as follows:

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

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

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

MUFG Bank maintains a **physical presence**. That means that MUFG Bank:

- 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.
- Is subject to inspection by the banking authority identified in the attachment hereto that licensed the particular MUFG Bank to conduct banking activities.

**D. Indirect Use of Correspondent Accounts**

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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.

No Correspondent Account maintained by a Covered Financial Institution may be used to indirectly provide banking services to certain foreign banks. MUFG 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**

**Form FR Y-7 is on file.** MUFG 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. MUFG Bank is wholly owned by Mitsubishi UFJ Financial Group, Inc., a financial holding company whose shares are publicly traded and is located at 7-1, Marunouchi 2-chome, Chiyoda-ku, Tokyo 100-8388, Japan.

#### **F. Process Agent**

MUFG Bank, Ltd. New York Branch is a resident of the United States at 1251 Avenue of the Americas, New York, NY 10020-1104, **and** is authorized to accept service of legal process on behalf of MUFG 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**

MUFG 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 change.

MUFG 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. MUFG 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, Jessica Gomel-Veksland, 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 MUFG Bank.



Jessica Gomel-Veksland  
Global Head of AML Compliance  
MUFG Bank, Ltd  
Executed on this 22nd day of February, 2021

Received and reviewed by:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

For: \_\_\_\_\_

[Name of Covered Financial Institution]

Date: \_\_\_\_\_

[67 FR 60573, Sept. 26, 2002]

**Attachment: MUFG Bank list**

<u>Country/ Region</u>	<u>Name of Office</u>	<u>Street Address</u>	<u>Banking Authority</u>
Japan	Head Office	71, Marunouchi, 2chome, Chiyodaku, Tokyo 1008388, Japan	Financial Services Agency (of Japan)
Australia	Sydney Branch	Level 25, Gateway, 1 Macquarie Place, Sydney, N.S.W. 2000, Australia	Australian Prudential Regulation Authority Financial Services Agency (of Japan)
Bahrain	Bahrain Branch	Level 12 of the West Tower, Financial Centre, Bahrain Financial Harbour, P.O.Box 5850, Manama, Kingdom of Bahrain	The Central Bank of Bahrain Financial Services Agency (of Japan)
Canada	Canada Branch	Royal Bank Plaza, South Tower, 200 Bay Street, Suite 1800, Toronto, Ontario M5J 2J1, Canada	Office of the Superintendent of Financial Institutions (OSFI) Financial Services Agency (of Japan)
Colombia	Representative Office in Colombia	Carrera 7 No.71-21, Torre B Of 507, Bogota, Republic of Colombia	Superintendencia Financiera de Colombia (SFC) Financial Services Agency (of Japan)
France	Paris Branch	Le Centorial, 18, rue du Quatre Septembre, 75002 Paris France (mailing address: Le Centorial, 18, rue du Quatre Septembre, 75080 Paris CEDEX2 France)	Commission Bancaire Financial Services Agency (of Japan)
Hong Kong	Hong Kong Branch	8F, AIA Central, 1 Connaught Road, Central, Hong Kong, Peoples' Republic of China	Hong Kong Monetary Authority Financial Services Agency (of Japan)
India	Bengaluru Branch	N701, 7th Floor, World Trade Center Bengaluru, Brigade Gateway Campus, 26/1 Dr. Rajkumar Road, Malleshwaram West, Bengaluru 56005, Karnataka, India	Reserve Bank of India Financial Services Agency (of Japan)
India	Chennai Branch	Seshachalam Centre, 6th & 7th Floor, 636/1, Anna Salai, Nandanam, Chennai 600 035, India	Reserve Bank of India Financial Services Agency (of Japan)
India	New Delhi Branch	5th Floor Worldmark 2, Asset 8 , Aerocity, New Delhi, India 110037	Reserve Bank of India Financial Services Agency (of Japan)
India	Mumbai Branch	15th Floor, Hoechst House, 193 Vinay K. Shah Marg, (Backbay Reclamation) Nariman Point, Mumbai 400 021, India	Reserve Bank of India Financial Services Agency (of Japan)
Indonesia	Jakarta Branch	Midplaza Building 1F3F, Jl. Jenderal. Sudirman Kav. 10-11, Jakarta, 10227, Republic of Indonesia	Bank Indonesia Financial Services Agency (of Japan)
Italy	Milano Branch	Via Filippo Turati, 9, 20121 Milano, Republic of Italy	Banca d'Italia Financial Services Agency (of Japan)
Korea	Seoul Branch	4th Floor Young Poong Bldg., 41 Cheonggyecheonro, Jongnogu, Seoul, Republic of Korea	Financial Supervisory Service Financial Services Agency (of Japan)
Malaysia	Labuan Branch	Level 12 (A & F), Main Office Tower Financial Park Labuan, Jalan Merdeka, 87000 Federal Territory of Labuan, Malaysia	Labuan Offshore Financial Services Bank Negara Malaysia Financial Services Agency (of Japan)
Myanmar	Yangon Branch	2nd Floor, Union Financial Centre, Corner of Maharbandoola Road and Thein Phyu Road, Bohtataung Township, Yangon, Republic of the Union of Myanmar	Central Bank of Myanmar Financial Services Agency (of Japan)
New Zealand	Auckland Branch	Level 22, 151 Queen Street, Auckland, New Zealand (Mailing address: P.O. Box 105160, Auckland, New Zealand)	Reserve Bank of New Zealand Financial Services Agency (of Japan)

Philippines	Manila Branch	15th Floor, 6788 Ayala Avenue, Makati City, Philippines	Bangko Sentral ng Pilipinas Financial Services Agency (of Japan)
Saudi Arabia	Riyadh Branch	13th floor, East Wing Al Nakhlah Tower, King Fahd Road, As Sahafah Dist. Riyadh 13315, Kingdom of Saudi Arabia	Saudi Arabian Monetary Authority Financial Services Agency (of Japan)
Singapore	Singapore Branch	7 Straits View, #23-01 Marina One East Tower, Singapore 018936, Republic of Singapore	Monetary Authority of Singapore Financial Services Agency (of Japan)
Taiwan	Taipei Branch	8th & 9th Floor, Union Enterprise Plaza, 109 Min Sheng East Road Sec.3, Taipei 10544, Taiwan	Financial Supervisory Commission Financial Services Agency (of Japan)
U.A.E.	Abu Dhabi Branch	1st Floor, IPIC Square Muroor Street, Abu Dhabi, United Arab Emirates	Central Bank of United Arab Emirates Financial Services Agency (of Japan)
U.A.E.	DIFC Branch - Dubai	Level 3, East Wing, The Gate, Dubai International Financial Centre, Dubai, United Arab Emirates	The Dubai Financial Services Authority Financial Services Agency (of Japan)
U.K.	London Branch	Ropemaker Place, 25 Ropemaker Street London EC2Y 9AN, United Kingdom (mailing address: P.O. Box 280, London EC2M 7DX, United Kingdom)	Prudential Regulation Authority Financial Conduct Authority Financial Services Agency (of Japan)
Vietnam	Hanoi Branch	6 th Floor, Pacific Place, 83B Ly Thuong Kiet Street, Hanoi, Socialist Republic of Vietnam	The State Bank of Vietnam Financial Services Agency (of Japan)
Vietnam	Ho Chi Minh City Branch	8th Floor, The Landmark, 5B Ton Duc Thang Street, District 1, Ho Chi Minh City, Socialist Republic of Vietnam	The State Bank of Vietnam Financial Services Agency (of Japan)