

**GULF INTERNATIONAL BANK B.S.C.  
GULF INTERNATIONAL BANK (UK) LIMITED  
GLOBAL CERTIFICATION  
REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS**

*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 C.F.R. 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 C.F.R. 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 C.F.R. 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. Gulf International Bank B.S.C.** (including its branches and offices listed in **Appendix 1**, hereinafter "**GIB**") and its wholly-owned subsidiary **Gulf International Bank (UK) Limited** (including its branches and offices listed in **Appendix 1**, hereinafter "**GIB(UK)**") (each a "**GIB Entity**" and, together, the "**GIB Entities**") each hereby certifies as follows:

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\* 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.

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

This Certification applies to **all** accounts established for it 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.

Each GIB Entity maintains a **physical presence** in any country. That means:

1) GIB has a place of business at the following street address:

Al-Dowali Building, 3 Palace Avenue, Manama where GIB employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.

- The above address is in the Kingdom of Bahrain, where GIB is authorized to conduct banking activities.
- GIB is subject to inspection by the Central Bank of Bahrain, the banking authority that licensed GIB to conduct banking activities.

👉 **See Appendix 1 - Cayman Branch is a regulated affiliate**

2) GIB(UK) has a place of business at the following street address:

One Knightsbridge, London SW1X 7XS where GIB(UK) employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.

- The above address is in the United Kingdom, where GIB(UK) is authorized to conduct banking activities.
- GIB(UK) is subject to inspection by the Financial Conduct Authority and the Prudential Regulation Authority, the banking authority that licensed GIB(UK) 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. Each of the GIB Entities hereby certifies on its own behalf 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.** GIB 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

*\*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.*

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

The following individual or entity: **Baker & McKenzie LLP** is a resident of the United States at the following street address: **452 Fifth Avenue, New York, New York 10018, Tel: 1 (212) 626-4100, Fax: 1 (212) 310-1600**, and is authorized to accept service of legal process on behalf of the GIB Entities 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 GIB 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 GIB 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 GIB 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, Khalid Mahmood Mohammed, 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 the GIB Entities.



Khalid Mahmood Mohammed  
Group Money Laundering Reporting Officer  
Gulf International Bank B.S.C.

Updated on 26<sup>th</sup> August 2015

**APPENDIX 1 TO GIB & GIB(UK) GLOBAL CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS  
FOR FOREIGN BANKS - INFORMATION AS REQUIRED BY PART C OF THE CERTIFICATION.**

<b>Gulf International Bank B.S.C.</b>	<b>Street Address at which Branch/Office Maintains a Place of Business</b>	<b>Country</b>	<b>Banking Authority</b>	<b>Physical Presence</b>	<b>Regulated Affiliate</b>
Gulf International Bank B.S.C. (Head Office)	Al-Dowali Building, 3 Palace Avenue, Manama	Bahrain	Central Bank of Bahrain	Yes	
London Branch	One Knightsbridge, London SW1X 7XS	United Kingdom	Financial Conduct Authority & Prudential Regulation Authority	Yes	
Riyadh Branch	Granada Business & Residential Park, Eastern Ring Road, Riyadh 11673	Saudi Arabia	Saudi Arabian Monetary Agency (SAMA)	Yes	
Jeddah Branch	Private Offices Building, Prince Sultan Road, Jeddah 21511	Saudi Arabia	Saudi Arabian Monetary Agency (SAMA)	Yes	
Dhahran Branch	Al Kifah Commercial Tower Dammam - Khobar Highway Dhahran 31942	Saudi Arabia	Saudi Arabian Monetary Agency (SAMA)	Yes	
Abu Dhabi Branch	Office No. (304 & 306), 3 <sup>rd</sup> Floor, Abu Dhabi Plaza Tower Hamdan Street, Abu Dhabi	United Arab Emirates	Central Bank of UAE	Yes	
Dubai Representative Office	Office 901, Al Mossa Tower 2, Sheikh Zayed Road, Dubai	United Arab Emirates	Central Bank of UAE	Yes	
Beirut Representative Office	Gefinor Centre - Block "B", 14 <sup>th</sup> Floor, Office 1401, Beirut	Lebanon	Central Bank of Lebanon	Yes	
New York Branch	330 Madison Avenue, 37 <sup>th</sup> Floor New York, NY 10017	USA	Office of the Comptroller of the Currency ("OCC")	Yes	
Cayman Islands Branch	C/o New York Branch 330 Madison Avenue, New York, NY 10017	USA	Cayman Islands Monetary Authority, Grand Cayman		Yes
International Banking Facility Gulf International Bank B.S.C.	330 Madison Avenue, New York, NY 10017	USA	Office of the Comptroller of the Currency ("OCC")	Yes	
<b>Gulf International Bank (UK) Limited</b>	<b>Street Address at which Subsidiary Maintains a Place of Business</b>	<b>Country</b>	<b>Banking Authority</b>	<b>Physical Presence</b>	<b>Regulated Affiliate</b>
Gulf International Bank (UK) Limited	One Knightsbridge, London SW1X 7XS	United Kingdom	Financial Conduct Authority & Prudential Regulation Authority	Yes	
Gulf International Bank (UK) Limited, New York Branch	330 Madison Avenue, New York, NY 10017	USA	Office of the Comptroller of the Currency ("OCC")	Yes	
GIB (UK) Alternative Investment Management limited - Subsidiary	One Knightsbridge, London SW1X 7XS	United Kingdom	Financial Conduct Authority	Yes	