

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)).¹

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, DekaBank Deutsche Girozentrale ("**Foreign Bank**") hereby certifies as follows:

¹ 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 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:
- Foreign Bank has a place of business at the following street address: Mainzer Landstraße 16, 60325 Frankfurt, where Foreign Bank employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
 - The above address is in Germany (insert country), where Foreign Bank is authorized to conduct banking activities.
 - Foreign Bank is subject to inspection by Federal Financial Supervisory Authority, (insert Banking Authority), 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 family² shall be considered one **person**.

Name	Address
Please see Attachment "Owners Structure":	https://www.deka.de/deka-group/about-us/structure

² 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: DekaBank Deutsche Girozentrale
is a resident of the United States at the following street address:
1330 Avenue of the Americas, 21st Floor, 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

Foreign 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.

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.

I, Britta Schulzke and Alexandra Ott (name of signatory), 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 Foreign Bank.

DekaBank Deutsche Girozentrale
[Name of Foreign Bank]


[Signature]

Britta Schulzke
[Printed Name]

Chief Compliance Officer / Money Laundering Reporting Officer
[Title]


[Signature]

Alexandra Ott
[Printed Name]

Deputy Money Laundering Reporting Officer
[Title]

Executed on this 1st day of July, 2019

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____



Attachment: Owners Structure

July 1st, 2019

**DekaBank
Deutsche
Girozentrale**

Subject
CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS

**Mainzer Landstraße 16
60325 Frankfurt am Main**

**PO Box 11 05 23
60040 Frankfurt am Main
Germany**

**Phone (+49) 69 71 47 – 0
Fax (+49) 69 71 47 – 13 76
www.dekabank.de**

Owners Structure of DekaBank Deutsche Girozentrale

1. Structure

DekaBank is a German institution incorporated under public law.

2. Shareholders of DekaBank Deutsche Girozentrale*

Board of Management
Michael Rüdiger (CEO)
Dr. Georg Stocker (Deputy CEO)
Manuela Better
Dr. Matthias Danne
Daniel Kapffer
Martin K. Müller

**Chairman of the
Administrative Board**
Helmut Scheweis

VAT ID No.
DE 114103563

Commercial Register
Local Court
Frankfurt am Main
HRA 16068

Headquarters
Frankfurt am Main, Berlin

Deutscher Sparkassen- und Giroverband (DSGV) ö. K. Address: Charlottenstraße 47 10117 Berlin, Germany	50 %
Including:	
Savings Banks Association Baden-Württemberg	7,71 %
Rhineland Savings Banks and Giro Association	6,56 %
Savings Banks Association Lower Saxony	6,46 %
Savings Banks Association Bavaria	6,32 %
Savings Banks Association Westphalia-Lippe	6,18 %
Savings Banks and Giro Association Hesse-Thuringia	5,81 %
Savings Banks Association Rhineland-Palatinate	3,21 %
Savings Banks Association Berlin / Landesbank Berlin	1,90 %



East German Savings Banks Association	1,83 %
Savings Banks and Giro Association for Schleswig-Holstein	1,78 %
Savings Banks Association Saar	1,37 %
Hanseatic Savings Banks and Giro Association	0,91 %

Deka Erwerbsgesellschaft mbH & Co. KG	50 %
Address:	
Schinkelplatz 1 - 8,	
15320 Neuhardenberg, Germany	
Including:	
Savings Banks Association Bavaria	8,40 %
Savings Banks Association Baden-Württemberg	8,14 %
East German Savings Banks Association	8,00 %
Rhineland Savings Banks and Giro Association	7,66 %
Savings Banks and Giro Association Hesse-Thuringia	5,47 %
Savings Banks Association Westphalia-Lippe	3,69 %
Savings Banks Association Lower Saxony	2,04 %
Savings Banks Association Rhineland-Palatinate	1,87 %
Savings Banks Association Berlin / Landesbank Berlin	1,57 %
Savings Banks and Giro Association for Schleswig-Holstein	1,48 %
Hanseatic Savings Banks and Giro Association	1,27 %
Savings Banks Association Saar	0,43 %

*with regard to the voting rights (subject to rounding differences)



Britta Schulzke (Chief Compliance Officer and Money Laundering Reporting Officer)



Alexandra Ott (Deputy Money Laundering Reporting Officer)