

**APPENDIX A TO SUBPART I OF PART 103 –
CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS
FOR FOREIGN BANKS**

[OMB Control Number 1506-00431]

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 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, Australia and New Zealand Banking Group Limited ABN 11005 357 522 ("**Foreign Bank**") hereby certifies as follows:

* 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).

Note: The Attachment to this Certification lists all of Foreign Bank's Offices, Subsidiaries and Affiliates covered by this Certification.

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

Foreign Bank maintains a **physical presence** in any country. That means:

- Foreign Bank has a place of business at the following street address:
ANZ Centre Melbourne, Level 9, 833 Collins Street, Docklands, 3008 in the State of Victoria, Australia, 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 Australia, where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is subject to inspection by the Australian Prudential Regulation 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 family* shall be considered one **person**.

Name	Address

F. Process Agent: complete the following.

The following individual or entity: ANZ Banking Group Limited, at the following street address: 277 Park Avenue, 31st Floor, N.Y., N.Y. 10172, is authorized to accept service of legal process on behalf of Foreign Bank, its Branches and its Subsidiaries listed in the Attachment to this Certification 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, Warren Dickins, Head of Financial Crime Portfolio and Group Money Laundering Reporting Officer, certify that I have read and understood this Certification, that the statements made in this Certification are

* 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.

complete and correct, and that I am authorized to execute this Certification on behalf of Foreign Bank, its Branches, its Subsidiaries and Regulated Affiliates listed in the Attachment to this Certification.

Australia and New Zealand Banking Group Limited ABN 11005 357 522

Australia and New Zealand Banking Group Limited



Warren Dickins
Head of Financial Crime Portfolio and Group Money Laundering Reporting
Officer

Executed on this 25 day October of 2022.

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

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Attachment

Part I: Branches and subsidiaries of Foreign Bank covered by the Certification given for the purposes of Title 31 U.S.C. Sections 5318(j) and 5318(k) dated 25th October 2022 by Warren Dickins Australia and New Zealand Banking Group Limited:

Name of Foreign Bank	Foreign Bank has a place of business at the following:	The fore-mentioned address is in	The Foreign Bank is subject to inspection by
Australia and New Zealand Banking Group Limited	ANZ Centre Melbourne, Level 9, 833 Collins Street, Docklands, 3008, Victoria, Australia. Markets, Transaction Banking and trade activities operates at: ANZ Branch 242 Pitt Street, Sydney, NSW 2000	Australia	Australian Prudential Regulatory Authority (APRA)
ANZ Funds Pty. Ltd.	ANZ Centre Melbourne, Level 9, 833 Collins Street, Docklands, 3008, Victoria, Australia.	Australia	Australian Prudential Regulatory Authority (APRA)
Australia and New Zealand Banking Group Limited	C/o- Butterfield Trust (Cayman) Limited, 12 Albert Panton Street, P.O. Box 705, Grand Cayman KY1-1107, Cayman Islands.	Cayman Islands	Cayman Islands Monetary Authority (CIMA)

Name of Foreign Bank	Foreign Bank has a place of business at the following:	The fore-mentioned address is in	The Foreign Bank is subject to inspection by
Australia and New Zealand Bank (China) Company Limited	Unit D, E, F, 17th Floor, Unit A, B, C, D2, E, F, 15th Floor & Unit B1, 12th Floor, Mirae Asset Tower, No. 166, Jujiazui Ring Road, Pudong New Area, Shanghai, Peoples Republic of China.	Peoples' Republic of China	China Banking and Insurance Regulatory Commission State Administration of Foreign Exchange People's Bank of China
Australia and New Zealand Banking Group Limited	ANZ House, Maire Nui Drive, Avarua, Rarotonga, Cook Islands.	Cook Islands	Financial Supervisory Commission
Australia and New Zealand Banking Group Limited	ANZ House, 25 Victoria Parade, Suva, Fiji.	Fiji	Reserve Bank of Fiji
Australia and New Zealand Banking Group Limited (Paris Branch)	Ground floor, 6 Rue Lamennais, 75008 Paris.	France	Autorité de contrôle prudentiel et de resolution, the "ACPR".
Australia and New Zealand Banking Group Limited	27th Floor, Friedrich-Ebert-Anlage 35-37, Frankfurt am Main 60327, Germany.	Germany	Federal Financial Supervisory Authority (Bundesanstalt für Finanzdienstleistungsaufsicht)
Australia and New Zealand Banking Group Limited	22nd Floor, Three Exchange Square, 8 Connaught Place, Central, Hong Kong.	Hong Kong Special Administrative Region	Hong Kong Monetary Authority
Australia and New Zealand Banking Group Limited	Raheja Tower, 5th Floor, Block G Plot C-30, Bandra Kurla Complex, Bandra East Mumbai 400 051, India.	India	Reserve Bank of India

Name of Foreign Bank	Foreign Bank has a place of business at the following:	The fore-mentioned address is in	The Foreign Bank is subject to inspection by
PT Bank ANZ Indonesia	WTC 3, Level 30-31 Jl. Jendral Sudirman Kav. 29-31 Jakarta 12920, Indonesia	Indonesia	Financial Service Authority Indonesia (Indonesian : Otoritas Jasa Keuangan/OJK) Bank Indonesia Indonesian Financial Transaction Report and Analysis Centre (INTRAC / Indonesian : Pusat Pelaporan dan Analisis Transaksi Keuangan/PPATK)
Australia and New Zealand Banking Group Limited	Marunouchi Building, 33rd Floor, 4-1 Marunouchi 2-chome Chiyoda-Ku, Tokyo 100-6333, Japan.	Japan	Financial Services Agency
ANZ Securities (Japan), Ltd.	Marunouchi Building, 33rd Floor, 4-1 Marunouchi 2-chome Chiyoda-Ku, Tokyo 100-6333, Japan	Japan	Financial Services Agency
ANZ Bank (Kiribati) Limited	TK Plaza, Bairiki Street, Tarawa, Kiribati	Kiribati	Financial Supervisory Authority of Kiriba
Australia and New Zealand Banking Group Limited, Lao Branch	33 Lane Xang Avenue, Vientiane, LAO PDR.	Lao PDR	Bank of Lao PDR
Australia and New Zealand Banking Group Limited (Myanmar Branch)	02/07 – 09, 2nd Floor, Union Financial Centre, Cnr of Maharbandoola Rd & Thein Phyu Rd, Botahtaung Township, Yangon, Myanmar.	Myanmar	Central Bank of Myanmar

Name of Foreign Bank	Foreign Bank has a place of business at the following:	The fore-mentioned address is in	The Foreign Bank is subject to inspection by
ANZ Bank New Zealand Limited	<p>Ground Floor, ANZ Centre, 23-29 Albert Street, Auckland, 1010, New Zealand.</p> <p>Markets, Transaction Banking and trade activities operates at: Ground Floor, ANZ Centre, 23-29 Albert Street, Auckland 1010, New Zealand</p> <p>171 Featherston Street, Wellington 6011, New Zealand</p> <p>ANZ Centre Level 3, 267 High St Christchurch 8011, New Zealand</p>	New Zealand	Reserve Bank of New Zealand
Australia and New Zealand Banking Group Limited	Level 10, 171 Featherston Street, Wellington 6011, New Zealand.	New Zealand	Reserve Bank of New Zealand
Australia and New Zealand Banking Group (PNG) Limited	Level 1, ANZ Haus, Harbour City, Poreporena Freeway Konedobu, National Capital District, Papua New Guinea.	Papua New Guinea	<p>Central Bank of Papua New Guinea (BPNG)</p> <p>Financial Analysis Supervision Unit (FASU)</p>
Australia and New Zealand Banking Group Limited	Solaris One, Level 14 130 Dela Rosa Street Legaspi Village, Makati City 1229 Manila, Philippines	Philippines	Bangko Sentral ng Pilipinas
ANZ Bank (Samoa) Limited	Beach Road, Apia, Samoa.	Samoa	Central Bank of Samoa

Name of Foreign Bank	Foreign Bank has a place of business at the following:	The fore-mentioned address is in	The Foreign Bank is subject to inspection by
Branch of ANZ Guam Inc (American Samoa Branch) Trading as Amerika Samoa Bank.	Amerika Samoa Bank Bldg, Fagatogo, Pago Pago, American Samoa	American Samoa	Federal Deposit Insurance Corporation (FDIC)
ANZ Finance American Samoa, Inc	Amerika Samoa Bank Bldg, Fagatogo, Pago Pago, American Samoa	American Samoa	Federal Reserve Board (FRB)
ANZ Guam, Inc	114 Julale Center, 424 West O'Brien Drive, Hagatna GU 96910	Guam	Federal Deposit Insurance Corporation (FDIC)
ANZ Finance Guam, Inc	114 Julale Center, 424 West O'Brien Drive, Hagatna GU 96910	Guam	Federal Reserve Board (FRB)
Australia and New Zealand Banking Group Limited	277 Park Avenue, 31st Floor, New York, NY 10172, USA	New York	Office of the Comptroller of Currency (OCC)
ANZ Securities, Inc	277 Park Avenue, 31st Floor, New York, NY 10172, USA	New York	Financial Industry Regulatory Authority (FINRA)
Australia and New Zealand Banking Group Limited, Singapore Branch	10 Collyer Quay #30-00, Ocean Financial Centre, Singapore 049315	Singapore	Monetary Authority of Singapore
Australia and New Zealand Banking Group Limited	ANZ Haus Ranadi Prince Philip Highway East Honiara Solomon Islands	Solomon Islands	Central Bank of Solomon Islands
Australia and New Zealand Banking Group Limited	30F, Three IFC, Gukjegeumyung-ro 10, Yeongdeungpo-gu, Seoul.	Republic of Korea	Financial Supervisory Service

Name of Foreign Bank	Foreign Bank has a place of business at the following:	The fore-mentioned address is in	The Foreign Bank is subject to inspection by
Australia and New Zealand Banking Group Limited, Taipei Branch	39F, No 68, Sec. 5, Zhongxiao E. Rd, Xin Yi District, Taipei 110, Taiwan.	Republic of China	Financial Supervisory Commission Central Bank of the Republic of China (Taiwan)
ANZ Bank (Thai) Public Company Limited	63 Athenee Tower, 8th floor, Unit 801-804 Wireless Road Khwaeng Lumpini, Khet Pathumwan Bangkok 10330, Thailand.	Thailand	Bank of Thailand Anti-Money Laundering Office (AMLO)
Australia and New Zealand banking Group Limited R.P. (Timor-Leste Branch)	Avenida Presidenti Nicolau Lobato Timor Plaza Level-3, Suit# 344-352 Dom Aleixo, Comoro, Dili, Timor-Leste	Timor-Leste	Banco Central de Timor-Leste
Australia and New Zealand Banking Group Limited	Taufa'ahau Road, Nuku'alofa Kingdom of Tonga.	Kingdom of Tonga	National Reserve Bank of Tonga
Australia and New Zealand Banking Group Limited	Office no 301, Level 3, Gate Village Building 6, DIFC, Dubai, UAE.	United Arab Emirates	Dubai Financial Services Authority
Australia and New Zealand Banking Group Limited	25 North Colonnade, Canary Wharf, London E14 5HZ UK.	United Kingdom	Financial Conduct Authority Prudential Regulation Authority
ANZ Bank (Vanuatu) Limited	ANZ House, Kumul Highway, Port Via, Vanuatu	Vanuatu	Reserve Bank of Vanuatu(RBV) Vanuatu Financial Intelligence Unit (VFIU)

Name of Foreign Bank	Foreign Bank has a place of business at the following:	The fore-mentioned address is in	The Foreign Bank is subject to inspection by
ANZ Bank (Vietnam) Limited	Level 10, Tower 2, Capital Place Building, 29 Lieu Giai Street, Ngoc Khanh Ward, Ba Dinh District, Hanoi, Vietnam	Socialist Republic of Vietnam	State Bank of Vietnam