

# CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR **CAIXA GERAL DE DEPÓSITOS, S.A.**

[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 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 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)).\*

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. The undersigned financial institution, CAIXA GERAL DE DEPÓSITOS, SA and the entities listed in the attachment (the “CGD entities”), hereby certifies as follows:**

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

**This Certification applies to all accounts established for CAIXA GERAL DE DEPÓSITOS, S.A. and CGD entities by Covered Financial Institutions.**

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

**The CGD entities (listed in the attachment) maintain a physical presence. That means each CGD entity:**

---

\* 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.

- Has a place of business at the street address listed in the attachment, 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 authorities listed in the attachment, which licensed the particular CGD entities to conduct banking activities.

The CGD entities are all branches of CAIXA GERAL DE DEPÓSITOS SA.

- CAIXA GERAL DE DEPÓSITOS SA has a place of business at Avenida João XXI nº 63, 1000 - 300 LISBOA, where it employs one or more individuals on a full- time basis and maintains operating records related to its banking activities.
- The above address is in PORTUGAL, where CAIXA GERAL DE DEPÓSITOS SA is authorized to conduct banking activities.
- CAIXA GERAL DE DEPÓSITOS SA is subject to inspection by BANCO DE PORTUGAL, the banking authority that licensed CAIXA GERAL DE DEPÓSITOS SA to conduct banking activities.

**D. Indirect Use of Correspondent Accounts:**

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

**CAIXA GERAL DE DEPÓSITOS and CGD entities hereby certify that they do 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:**

**CAIXA GERAL DE DEPÓSITOS SA is entirely owned by the Portuguese State.**

**Address of Portuguese State (*Direção-Geral do Tesouro e Finanças*): Rua da Alfândega, nº5, 1º 1149-008 Lisboa, Portugal**

**F. Process Agent:**

**The following individual or entity: Cogency Global Inc is a resident of the United States at the following street address: 122 East 42<sup>nd</sup> Street, 18<sup>th</sup> Floor, New York, NY 10168, 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**

**CAIXA GERAL DE DEPÓSITOS 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.**

**CAIXA GERAL DE DEPÓSITOS SA 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.**

**CAIXA GERAL DE DEPÓSITOS SA 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, LUIS SARAIVA MARTINS, 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 CAIXA GERAL DE DEPÓSITOS SA.**

**Luis Saraiva Martins  
HEAD OF COMPLIANCE  
CAIXA GERAL DE DEPÓSITOS, SA**

**Executed on 3<sup>rd</sup> of April, 2020.**

**ATTACHMENT TO CERTIFICATION REGARDING  
CORRESPONDENT ACCOUNTS FOR CGD BRANCHES**

<b>CGD entity</b>	<b>Address</b>	<b>Country</b>	<b>Banking Authority</b>
CGD - France Branch	38/40, Rue de Provence 75009 PARIS	France	Banque de France