

CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR VP Bank Entities

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 institutions, the VP Bank Entities listed in the attachment hereto (the "VP Bank Entities"), hereby certify 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:

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

C. Physical Presence/Regulated Affiliate Status:

The VP Bank Entities maintain a physical presence and are regulated affiliates. That means that each such VP Bank Entities:

- Has a place of business at the 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 and according to the attachment hereto.
- Is subject to inspection by the Banking Authorities identified in the attachment hereto that licensed the particular VP Bank Entity to conduct banking activities, and
- Is an affiliate of VP Bank AG, which maintains a physical presence at the address set forth in the attachment hereto, where they employ one or more persons on a full-time basis, maintain operating records related to their banking activities, are supervised by the Finanzmarktaufsicht Liechtenstein (FMA), and where they are authorized to conduct banking activities;
- Is subject to supervision by the banking supervisory agencies identified in the attachment hereto.

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. VP Bank 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:

The VP Bank Entities are owned, directly or indirectly, by **VP Bank AG, Aeulestrasse 6, 9490 Vaduz, Liechtenstein**, whose 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)).

F. Process Agent:

Fried, Frank, Harris, Shriver & Jacobson LLP

is a resident of the United States at the following street address:

One New York Plaza, NY 10004-1980,

att. **Managing Attorney's Office** (to email ManagingAttorney'sDepartment@friedfrank.co)
and

Allen Isaacson, Esq. (to email Allen.Isaacson@friedfrank.com)

and

David Morris, Esq. (to email David.Morris@friedfrank.com),

is authorized to accept service of legal process on behalf of the VP Bank 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

VP Bank Entities hereby agrees 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.

VP Bank 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.

VP Bank 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.

We, Stefan Zünd and Karin Negele, certify that we have read and understand this Certification, that the statements made in this Certification are complete and correct, and that we authorized to execute this Certification on behalf of the VP Bank Entities.

VP Bank Ltd



Stefan Zünd
Head Group Legal Services



Karin Negele
Head Legal Office

Executed on 21 November 2023

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

VP Bank Entities

Country of Domicile	Registered Name	Banking Activity	Address	Regulator
Liechtenstein	VP Bank AG	yes	Aeulestrasse 6 LI-9490 Vaduz	Finanzmarktaufsicht Liechtenstein (FMA)
Switzerland	VP Bank (Schweiz) AG	yes	Talstrasse 59 CH-8001 Zürich	Eidgenössische Finanzmarktaufsicht (FINMA)
Luxemburg	VP Bank (Luxembourg) SA	yes	2, rue Edward Steichen L-2540 Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)
Singapore	VP Bank Ltd Singapore Branch	yes	128 Beach Road #13-01 Guoco Midtown Singapore 189773	Monetary Authority of Singapore (MAS)
BVI	VP Bank (BVI) Ltd	yes	VP Bank House · 156 Main Street · P.O. Box 2341 Road Town Tortola VG1110 British Virgin Islands	British Virgin Islands Financial Services Commission (BVI-FSC)
Hong Kong	VP Wealth Management (HongKong) Ltd	no	8/F, New World Tower Two 16-18 Queen's Road Central Hong Kong Island	Securities and Futures Commission (SFC) of Hong Kong
Liechtenstein	VP Fund Solutions (Liechtenstein) AG	no	Aeulestrasse 6 LI-9490 Vaduz	Finanzmarktaufsicht Liechtenstein (FMA)
Luxemburg	VP Fund Solutions (Luxembourg)SA	no	2, rue Edward Steichen L-2540 Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)

21 November 2023