

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, Banco Industrial do Brasil S/A and Its Branches (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.

- ☒ 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: Av. Pres. Juscelino Kubitschek, nº1703 – São Paulo-SP, 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 Brazil (insert country), where Foreign Bank is authorized to conduct banking activities.
 - Foreign Bank is subject to inspection by Central Bank of Brazil, (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 as 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
Carlos Alberto Mansur - 99,99%	Av: Pres. Juscelino Kubitscheck, 1703
	Vila Nova Conceição
	São Paulo - SP - Brazil
	São Paulo - SP - Brazil

²The 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: CSC Corporation Service Company
is a resident of the United States at the following street address:
1180 Avenue of the Americas, suite 210 – New York – NY – 10036 - 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, Guilherme Cardoso Gottardi (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.

Banco Industrial do Brasil S/A

[Name of Foreign Bank]

[Signature]

Guilherme Cardoso Gottardi

[Printed Name]

Director - Treasury

[Title]

Executed on this 24 day of March, 2023.

Received and reviewed by:


Name: _____
Title: _____
For: _____
[Name of Covered Financial Institution]

Date: _____

[67 FR 60573, Sept. 26, 2002]

Paperwork Reduction Act Notice

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CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS

ATTACHMENT - Certification for branches and offices outside the United States

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

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

(x) Foreign Bank has a place of business at the following street address: **Unit 14-A, Second Floor, Bahamas Financial Centre, East Side Charlotte Street, Nassau**, 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 **Bahamas** (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by **Central Bank of Bahamas**, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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

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

(x) Foreign Bank has a place of business at the following street address: **Av. Bailarina Selma Parada, 201 - Ed. 2 - Sala 211 - Cond. Galleria Office Park - Jardim Madalena - Campinas/SP - CEP: 13091-904**, 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 **Brazil** (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by **Central Bank of Brazil**, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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

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

(x) Foreign Bank has a place of business at the following street address: **Rua Comendador Araujo, 565 - Conjunto 801 - Centro - Curitiba/PR - CEP: 80420-908**, 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 **Brazil** (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by **Central Bank of Brazil**, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

[BIB - RESTRITO]

Av. Pres. Juscelino Kubitschek, 1.703 - Vila Nova Conceição
CEP: 04543 - 901 São Paulo / SP
Fone: 3049-9700 Fax: 3049-9810



Banco Industrial do Brasil

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

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

(x) Foreign Bank has a place of business at the following street address: Rua 09, 1155 - Salas A73 e A 74 - Edifício Aton Bussiness Style - Goiânia/GO - CEP: 74120-110, 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 Brazil (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by Central Bank of Brazil, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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

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

(x) Foreign Bank has a place of business at the following street address: Rua Eliezer Levy, 2587 – Julião Ramos - Macapá/AP - CEP: 68908-183, 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 Brazil (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by Central Bank of Brazil, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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

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

(x) Foreign Bank has a place of business at the following street address: Av. Rio Branco, 1- Salas 1811 - Edifício RB1 - Centro - Rio de Janeiro/RJ - CEP: 20090-003, 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 Brazil (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by Central Bank of Brazil, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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

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

(x) Foreign Bank has a place of business at the following street address: Av. Tancredo Neves, 1632- Sala 1302 – Torre Norte Edifício Salvador Trade Center – Caminho das Árvores – Salvador/BA – CEP: 41820-020, 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 Brazil (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by Central Bank of Brazil, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

[BIB - RESTRITO]

Av. Pres. Juscelino Kubitschek, 1.703 - Vila Nova Conceição

CEP: 04543 - 901 São Paulo / SP

Fone: 3049-9700

Fax: 3049-9810

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

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

(x) Foreign Bank has a place of business at the following street address: **Avenida Djalma Batista, 1661 – Torre Business – 13º Andar Salas 1309 e 1310 – Millennium Shopping – Manaus/AM – CEP: 6950-970**, 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 **Brazil** (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by **Central Bank of Brazil**, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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

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

(x) Foreign Bank has a place of business at the following street address: **Av. Brasil, 303 – Sala 406 – Centro Empresarial – Rio Branco/AC – CEP: 69900-076**, 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 **Brazil** (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by **Central Bank of Brazil**, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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

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

(x) Foreign Bank has a place of business at the following street address: **Av. Getúlio Vargas, 15 – Sala 901 – Bairro Funcionários – Belo Horizonte/MG – CEP: 30112-020**, 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 **Brazil** (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by **Central Bank of Brazil**, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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

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

(x) Foreign Bank has a place of business at the following street address: **Avenida Historiador Rubens Mendonça, com Avenida Miguel Sutil, Nº 1.756 - 26º Pavimento – Tipo 02 do Edifício Comercial SB Tower (Sala Comercial n.º 2602) - Alvorada, Cuiabá / MT - CEP 78048-340**, where Foreign Bank employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.

[BIB - RESTRITO]

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CEP: 04543 - 901 São Paulo / SP
Fone: 3049-9700 Fax: 3049-9810



Banco Industrial do Brasil

The above address is in **Brazil** (insert country), where Foreign Bank is authorized to conduct banking activities.

Foreign Bank is subject to inspection by **Central Bank of Brazil**, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

A handwritten signature in dark ink, appearing to be a stylized "A" or similar character, located in the upper right quadrant of the page.

[BIB - RESTRITO]

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