

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, *Skandinaviska Enskilda Banken AB (publ) including the branches listed in Attachment A ("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. **See Attachment A for a list of Foreign Bank offices with a physical presence.** That means:

- Foreign Bank has a place of business at the following street address: **See Attachment A for list of Addresses**, 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 **See Attachment A for Country listing**, where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is subject to inspection by **See Attachment A for list of Supervisors**, 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, where the depository institution, credit union, or foreign bank is authorized to conduct banking activities.
- Foreign Bank is subject to supervision by, 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 (as regards Skandinaviska Enskilda Banken AB (publ)) 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

F. Process Agent: complete the following.

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.

The following individual or entity: **The General Manager** is a resident of the United States at the following street address: **c/o Skandinaviska Enskilda Banken AB, New York Branch, 245 Park Ave – 33rd Floor, New York, NY 10167**, 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, **Gent Jansson**, 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 **Skandinaviska Enskilda Banken AB (publ)**, on behalf of each of its foreign branches listed on Attachment A hereto.



Gent Jansson

Head of Group Compliance
Skandinaviska Enskilda Banken AB (publ)

Executed on this 2nd day of May 2022.

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

[67 FR 60573, Sept. 26, 2002]

ATTACHMENT A

Skandinaviska Enskilda Banken AB (publ) and its Branches that Maintain a Physical Presence in a Country as of May 2, 2022

The Certification applies to Skandinaviska Enskilda Banken AB (publ), Kungsträdgårdsgatan 8, SE-106 40 Stockholm, Sweden, subject to supervision by Finansinspektionen (the Swedish Financial Supervisory Authority).

It also applies to the branches listed below, with places of business at the indicated addresses.

1. Skandinaviska Enskilda Banken AB, Singapore branch
50 Collyer Quay # 12-03
QUE Bayfront
Singapore 049321
Singapore

The Singapore branch is subject to supervision by the Monetary Authority of Singapore and Finansinspektionen (the Swedish Financial Supervisory Authority)

2. Skandinaviska Enskilda Banken AB, Oslo branch
Filipstad Brygge 1
N-0252 Oslo
Norway

The Oslo branch is subject to supervision by Finanstilsynet (the Norwegian Financial Supervisory Authority) and Finansinspektionen (the Swedish Financial Supervisory Authority)

3. Skandinaviska Enskilda Banken AB, London branch
One Carter Lane
GB London EC4V 5AN
United Kingdom

The London branch is subject to supervision by the Financial Conduct Authority and Prudential Regulation Authority of the United Kingdom and Finansinspektionen (the Swedish Financial Supervisory Authority)

4. Skandinaviska Enskilda Banken AB, Helsinki branch
Eteläesplanadi 18
00130 Helsinki
Finland

The Helsinki branch is subject to supervision by Finanssivalvonta (the Finnish Financial Supervisory Authority) and Finansinspektionen (the Swedish Financial Supervisory Authority)

5. Skandinaviska Enskilda Banken AB, Copenhagen branch
Bernstorffsgade 50
1577 Copenhagen V
Denmark

The Copenhagen branch is subject to supervision by Finanstillsynet (the Danish Financial Supervisory Authority) and Finansinspektionen (the Swedish Financial Supervisory Authority)

6. Skandinaviska Enskilda Banken AB, Hong Kong branch
Suites 1701-1709 & 1720, 17/F Jardine House
1 Connaught Place, Central
Hong Kong

The Hong Kong branch is subject to supervision by the Hong Kong Monetary Authority and Finansinspektionen (the Swedish Financial Supervisory Authority)

7. Skandinaviska Enskilda Banken AB, Frankfurt branch
Postfach 11 16 52
60051 Frankfurt am Main
Germany

Office address:
Stephanstraße 14-16
D-60313 Frankfurt am Main
Germany

The Frankfurt branch is subject to supervision by Bundesanstalt für Finanzdienstleistungsaufsicht (the German Financial Supervisory Authority) and Finansinspektionen (the Swedish Financial Supervisory Authority)

8. Skandinaviska Enskilda Banken AB, Warsaw branch
ul. Żelazna 51/53
00-841 Warsaw
Poland

The Warsaw branch is subject to supervision by the Polish Financial Supervision Authority and Finansinspektionen (the Swedish Financial Supervisory Authority)

9. Skandinaviska Enskilda Banken AB, Shanghai branch
Units 3301-05&15-16, 33/F, Two IFC, Shanghai IFC,
8 Century Avenue, Pudong New Area,
Shanghai 200120
P.R China

The Shanghai branch is subject to supervision by (i) China Banking and Insurance Regulatory Commission (ii) People's Bank of China, (iii) State Administration of Foreign Exchange and (iii) Finansinspektionen (the Swedish Financial Supervisory Authority)

10. Skandinavisk Enskilda Banken AB, Luxembourg branch
4, rue Peternelchen, L-2370
Howald
P.O. Box 487, L-2014 Luxembourg
R.C.S. Luxembourg B 39819

The Luxembourg branch is subject to supervision by Commission de Surveillance du Secteur Financier (CSSF) and Finansinspektionen (the Swedish Financial Supervisory Authority)

11. Skandinaviska Enskilda Banken AB, Riga Operations Center
Meistaru iela 1, Valdauci
LV 1076, Latvia

The sole purpose of the Riga Operations Center is to act as a shared service centre for the divisions and staff functions in the SEB Group and thereby assist other parts of the SEB Group in providing financial services for which it holds licences as well as other services.

12. Skandinaviska Enskilda Banken AB, Vilnius Operations Center
J. Balčikonio str. 3
Vilnius 08247, Lithuania

The sole purpose of the Vilnius Operations Center is to act as a shared service centre for the divisions and staff functions in the SEB Group and thereby assist other parts of the SEB Group in providing financial services for which it holds licences as well as other services.