



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, **Agricultural Bank of China Limited** ("**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. That means:
- Foreign Bank has a place of business at the following street address: No.69 Jianguomennei Avenue, Dong Cheng District, Beijing, P.R.China, 100005., 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 The People's Republic of China (insert country), where Foreign Bank is authorized to conduct banking activities.
 - Foreign Bank is subject to inspection by the China Banking Regulatory Commission and the People's Bank of China, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

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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.

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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 ² shall be considered one **person**.

Name	Address

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.

F. Process Agent: complete the following.

The following individual or entity: Agricultural Bank of China New York Branch
is a resident of the United States at the following street address:
277 Park Ave, 30th Floor, New York, NY, 10172 U.S.A. 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, **Qin Fuchuan** (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.

Agricultural Bank of China Limited

[Name of Foreign Bank]



[Signature]

Qin Fuchuan

[Printed Name]

General Manager of Global AML Center of ABC LD.

[Title]

Executed on this day of **2019/03/18**.

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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**ATTACHMENT TO USA PATRIOT ACT CERTIFICATIONS
GLOBAL LISTING OF ALL RELATED AFFILIATES, SUBSIDIARIES AND BRANCHES**

Entity Name and Relationship to Entity Indicated in Section A (i.e. affiliate, subsidiary or branch)	Street Address					Banking Authority
	Street	City	State	Postal Code	Country	
Singapore Branch	7 Temasek Boulevard #30-01/02/03, Suntec Tower 1, Singapore 038987	Singapore			Singapore	Monetary Authority of Singapore
Hong Kong Branch	25/F., Agricultural Bank of China Tower, 50 Connaught Road Central, Hong Kong	Hong Kong			Hong Kong SAR	Hong Kong Monetary Authority
Agricultural Bank of China (UK) Limited	7/F, 1 Bartholomew Lane, London, EC2N 2AX, U.K.	London			UK	Financial Conduct Authority Prudential Regulation Authority
Tokyo Branch	Yusen Building, 2-3-2 Marunouchi 100-0005 Japan	Tokyo			Japan	Financial Services Agency Ministry of Finance Japan
New York Branch	277 Park Ave, 30 th Floor, New York, NY, 10172 U.S.A.	New York			U.S.A	Federal Reserve Bank of New York
Seoul Branch	14F. Seoul Finance Center, 136, Sejong-daero, Jung-gu, Seoul 04520, Korea	Seoul			Korea	New York Department of Financial Services Korea Financial Intelligence Unit
Dubai DIFC Branch	Office 2901, Level 29, Al Fattan Currency House Tower 2, DIFC, Dubai, UAE	Dubai			United Arab Emirates	Dubai Financial Services Authority
Dubai Branch	Office No.201-203, Second Floor, Building No.1, Emaar Business Park, Sheikh Mohamed bin	Dubai			United Arab Emirates	Central Bank of UAE

	Zayed Road					
Frankfurt Branch	Ulmenstrasse 37-39, 60325 Frankfurt am Main, Germany	Frankfurt			Germany	Federal Financial Supervisory Authority, BaFin
Sydney Branch	Level 18, Chifley Tower, 2 Chifley Square, Sydney NSW 2000, Australia	Sydney			Australia	Australian Transaction Reports and Analysis Centre
Agricultural Bank of China (Luxembourg) Ltd	65, Boulevard Grande-Duchesse Charlotte, Luxembourg, L-1331.	Luxembourg			Luxembourg	Commission de Surveillance du Secteur Financier
Luxembourg Branch	65, Boulevard Grande-Duchesse Charlotte, Luxembourg, L-1331.	Luxembourg			Luxembourg	Commission de Surveillance du Secteur Financier
Agricultural Bank of China (Moscow) Ltd	4/F, 5 Lesnaya Str., Moscow, 125047, the Russian Federation	Moscow			Russia	The Central Bank of The Russian Federation
Agricultural Bank of China Limited London Branch	7/F, 1 Bartholomew Lane, London, EC2N 2AX, U.K.	London			The United Kingdom	Prudential Regulation Authority Financial Conduct Authority
Agricultural Bank of China Limited Hanoi Branch	Unit 901-907, 9th Floor, TNR Building, 54A Nguyen Chi Thanh, Lang Thuong Ward, Dong Da District, Hanoi, Vietnam.	Hanoi			Vietnam	State Bank of Vietnam
Agricultural Bank of China Macao Branch	Avenida Doutor Mário Soares, No.300-322, Edificio Finance and IT Center of Macau, 21 andar, em Macau	Macao			Macao, China	Autoridade Monetária de Macau

ABC International Holdings Limited	16/F., Agricultural Bank of China Tower,50 Connaught Road Central ,Hong Kong	Hong Kong			Hong Kong SAR	Joint Financial Intelligence Unit Financial Services and the Treasury Bureau
China Agricultural Finance Company Limited	26/F., Agricultural Bank of China Tower,50 Connaught Road Central ,Hong Kong	Hong Kong			Hong Kong SAR	Hong Kong Police Force
ABC Sao Paulo Representative Office	4/F, No.86 Sao Tome Road (Edificio Vila Olimpia Corporate Plaza), Jardim Paulista, Sao Paulo, Brazil	Sao Paulo			Brazil	Central Bank of Brazil
Vancouver Representative Office	Suite 2220, 510 W. Georgia Street, Vancouver, BC V6B 0M3, Canada	Vancouver			Canada	Office of the Superintendent of Financial Institutions of Canada(OSFI) The Financial Transactions and Reports Analysis Centre of Canada(FINTRAC)
Hanoi Representative Office	Unit V502-503, 5/F, Pacific Place, 83B Ly Thuong Kiet Street, Hoan Kiem District, Hanoi, Vietnam	Hanoi			Vietnam	The State Bank of Vietnam
Taipei Representative Office	3203, No.333, Keelung Road, Sec.1, Xinyi District, Taipei City, 11012, Taiwan	Taipei			Taiwan, China	Taiwan Financial Supervisory Commission