



Rabobank

CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS

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 broker-dealer in securities (a **covered financial institution** as defined in 31 C.F.R. 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 C.F.R. 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 C.F.R. 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 instructions 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 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, **Coöperatieve Rabobank U.A. also operating under its registered trade name RABOBANK NEDERLAND (“Foreign Bank”)** hereby certifies 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.



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

- Foreign Bank has a place of business at the following street address: **Croeselaan 18, 3521 CB, Utrecht**, 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 Netherlands**, where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is subject to inspection by **De Nederlandsche Bank N.V.** (Dutch Central Bank), 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.



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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* shall be considered one **person**.

Name	Address
N/A	

F. Process Agent: Complete the following:

The following individual or entity: **Rabobank Nederland, New York Branch** is a resident of the United States at the following street address:

245 Park Avenue, 37th floor, New York, U.S.A., Attn: Chief Compliance Officer, 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.

*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.



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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, **Tom van de Laar**, 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.

Rabobank Nederland

Tom van de Laar
Head Global Compliance AML & Sanctions

E-mail address: Tom.van.de.Laar@Rabobank.nl

Executed on this **October 19, 2020**

Received and reviewed by:

Name: _____

Title: _____

For: _____

Date: _____



Rabobank

Branch Certifications

Rabobank Nederland

To include Branch Certifications with the certification of the parent, please include the following information for **each** Branch. Indicate either that the Branch maintains a Physical Presence in the country indicated, OR that the Branch is a regulated affiliate, OR neither.

Name of Branch	Rabobank Nederland, Head Office (incl. Netherlands Branch)
Street Address (Not a Postal Box)	Croeselaan 18 3521 CB Utrecht
Country	The Netherlands
Banking Authority with Jurisdiction	De Nederlandsche Bank N.V. (DNB/ Dutch Central Bank)
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Rabobank, Antwerp Branch
Street Address (Not a Postal Box)	Uitbreidingstraat 86 bus 3, 2600 Antwerpen Berchem
Country	Belgium
Banking Authority with Jurisdiction	Nationale Bank van België (NBB)
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A., Zweigniederlassung Frankfurt a.M. (trading as Rabobank Frankfurt Branch)
Street Address (Not a Postal Box)	Solmsstrasse 83 60486 Frankfurt am Main
Country	Germany
Banking Authority with Jurisdiction	Bundesanstalt für Finanzaufsicht
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A., (Trading as Rabobank Paris)
Street Address (Not a Postal Box)	5 Rue de la Baume, 75008 Paris
Country	France
Banking Authority with Jurisdiction	Autorité de Contrôle Prudentiel et de Résolution (ACPR)
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	



Rabobank

Branch Certifications, Rabobank Nederland

Name of Branch	Coöperatieve Rabobank U.A. (trading as Rabobank, London Branch)
Street Address (Not a Postal Box)	Thames Court, One Queenhithe London EC4V 3RL
Country	England, United Kingdom
Banking Authority with Jurisdiction	Financial Conduct Authority
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A.(trading as Rabobank Dublin)
Street Address (Not a Postal Box)	George's Dock House, 2 George's Dock, IFSC, Dublin 1, DO1 H2T6
Country	Ireland
Banking Authority with Jurisdiction	Central Bank of Ireland
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Rabobank Anonim Şirketi
Street Address (Not a Postal Box)	Esentepe Mah. Büyükdere Cad. Bahar Sok. River Plaza, No. 13 K.7 Ofis no.15-16 34394 Şişli/Istanbul
Country	Turkey
Banking Authority with Jurisdiction	Banking Regulation and Supervision Authority (BDDK)
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A.(trading as Rabobank Milan Branch)
Street Address (Not a Postal Box)	Via Agnello 18, 20121 Milano
Country	Italy
Banking Authority with Jurisdiction	Bank of Italy
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	



Rabobank

Branch Certifications, Rabobank Nederland

Name of Branch	Rabobank, Spain Branch
Street Address (Not a Postal Box)	C/Rafael Calvo 39, first floor 28010 Madrid
Country	Spain
Banking Authority with Jurisdiction	Bank of Spain
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A. (trading as Rabobank, Singapore Branch)
Street Address (Not a Postal Box)	38 Beach Road, #31-11, South Beach Tower, Singapore 189767
Country	Singapore
Banking Authority with Jurisdiction	Monetary Authority of Singapore
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A. (trading as Rabobank, Hong Kong Branch)
Street Address (Not a Postal Box)	13/F One Pacific Place, 88 Queensway, Admiralty, Hong Kong
Country	Hong Kong SAR
Banking Authority with Jurisdiction	Hong Kong Monetary Authority
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A. (Trading as Rabobank India Branch)
Street Address (Not a Postal Box)	20 th Floor, Peninsula Business Park, Tower A, Senapati Bapat Marg, Lower Parel, Mumbai – 400 013
Country	India
Banking Authority with Jurisdiction	Reserve Bank of India
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A., (Trading as Shanghai Branch)
Street Address (Not a Postal Box)	Units 2002-07, 20/ F, Two ICC, 288 South Shaanxi Road, Xuhui District, Shanghai, 200031
Country	P.R. China
Banking Authority with Jurisdiction	China Banking Regulatory Commission
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	



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Branch Certifications, Rabobank Nederland

Name of Branch	Rabobank, Beijing Branch
Street Address (Not a Postal Box)	Units 01A,01B,01C,10B,10C, 10/F, The Exchange Beijing, No.Yi 118 Jianguo Road, Chaoyang District, Beijing, 100022
Country	P.R. China
Banking Authority with Jurisdiction	China Banking Regulatory Commission
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Rabobank, Labuan Branch
Street Address (Not a Postal Box)	Level 11 (C), Main Office Tower Financial Park Labuan, Jalan Merdeka 87000 F.T. Labuan
Country	Malaysia
Banking Authority with Jurisdiction	Labuan Financial Services Authority
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A., (Trading as Rabobank Australia)
Street Address (Not a Postal Box)	Darling Park Tower 3, Level 16, 201 Sussex Street, Sydney NSW 2000
Country	Australia
Banking Authority with Jurisdiction	Australian Prudential Regulation Authority
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Rabobank Australia Limited
Street Address (Not a Postal Box)	Darling Park Tower 3, Level 16, 201 Sussex Street, Sydney NSW 2000
Country	Australia
Banking Authority with Jurisdiction	Australian Prudential Regulation Authority
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Coöperatieve Rabobank U.A., (Trading as Rabobank, New Zealand Branch)
Street Address (Not a Postal Box)	Level 23, 157 Lambton Quay, Wellington 6011
Country	New Zealand
Banking Authority with Jurisdiction	Reserve Bank of New Zealand
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	



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Branch Certifications, Rabobank Nederland

Name of Branch	Rabobank New Zealand Limited
Street Address (Not a Postal Box)	Level 23, 157 Lambton Quay, Wellington 6011
Country	New Zealand
Banking Authority with Jurisdiction	Reserve Bank of New Zealand
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Rabobank New York Branch
Street Address (Not a Postal Box)	245 Park Avenue, New York, NY 10167
Country	United States of America
Banking Authority with Jurisdiction	Federal Reserve Bank of New York and New York State Department of Financial Services
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Rabo Securities USA, Inc. ("RSI")
Street Address (Not a Postal Box)	245 Park Avenue, New York, NY 10167
Country	United States of America
Banking Authority with Jurisdiction	Securities and Exchange Commission ("SEC") and Financial Industry Regulatory Authority ("FINRA")
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Rabo AgriFinance
Street Address (Not a Postal Box)	14767 North Outer 40 Road, Suite 400 Chesterfield, MO 63017
Country	United States of America
Banking Authority with Jurisdiction	Federal Reserve Bank of New York
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Rabobank Canadian Branch
Street Address (Not a Postal Box)	22 Adelaide Street West, Suite 3720 Bay Adelaide Centre East Tower Toronto, Ontario, M5H 4E3
Country	Canada
Banking Authority with Jurisdiction	Office of the Superintendent of Financial Institutions Canada (OSFI)
Check one box only (see instructions above.)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	



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Branch Certifications, Rabobank Nederland

Name of Branch	Rabobank Chile
Street Address (Not a Postal Box)	Avenida del Valle 714 Ciudad Empresarial, Huechuraba, Santiago
Country	Chile
Banking Authority with Jurisdiction	Superintendencia de Bancos e Instituciones Financieras
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Banco Rabobank International, Brazil S.A.
Street Address (Not a Postal Box)	Av. das Nações Unidas, 12995 - 7º andar, Sao Paulo
Country	Brazil
Banking Authority with Jurisdiction	Central Bank of Brazil
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Banco Rabobank International, Brazil S.A.
Street Address (Not a Postal Box)	Av. das Nações Unidas, 12.995 - 7o. andar, São Paulo
Country	Brazil
Banking Authority with Jurisdiction	Central Bank of Brazil
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Cooperatieve Rabobank U.A (represented by Mr. Pablo Vinagre)
Street Address (Not a Postal Box)	Alonso de Cordova 3788, 5th floor, Vitacura Santiago
Country	Chile
Banking Authority with Jurisdiction	Central Bank of Peru Superintendencia de banca, Seguros y AFP (Peru)
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Cooperatieve Rabobank U.A. – Oficina de Representacion
Street Address (Not a Postal Box)	Avenida Presidente Quintana 160 Buenos Aires
Country	Argentina
Banking Authority with Jurisdiction	Central Bank of Argentina
Check one box only (see instructions above.) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	